

1/85

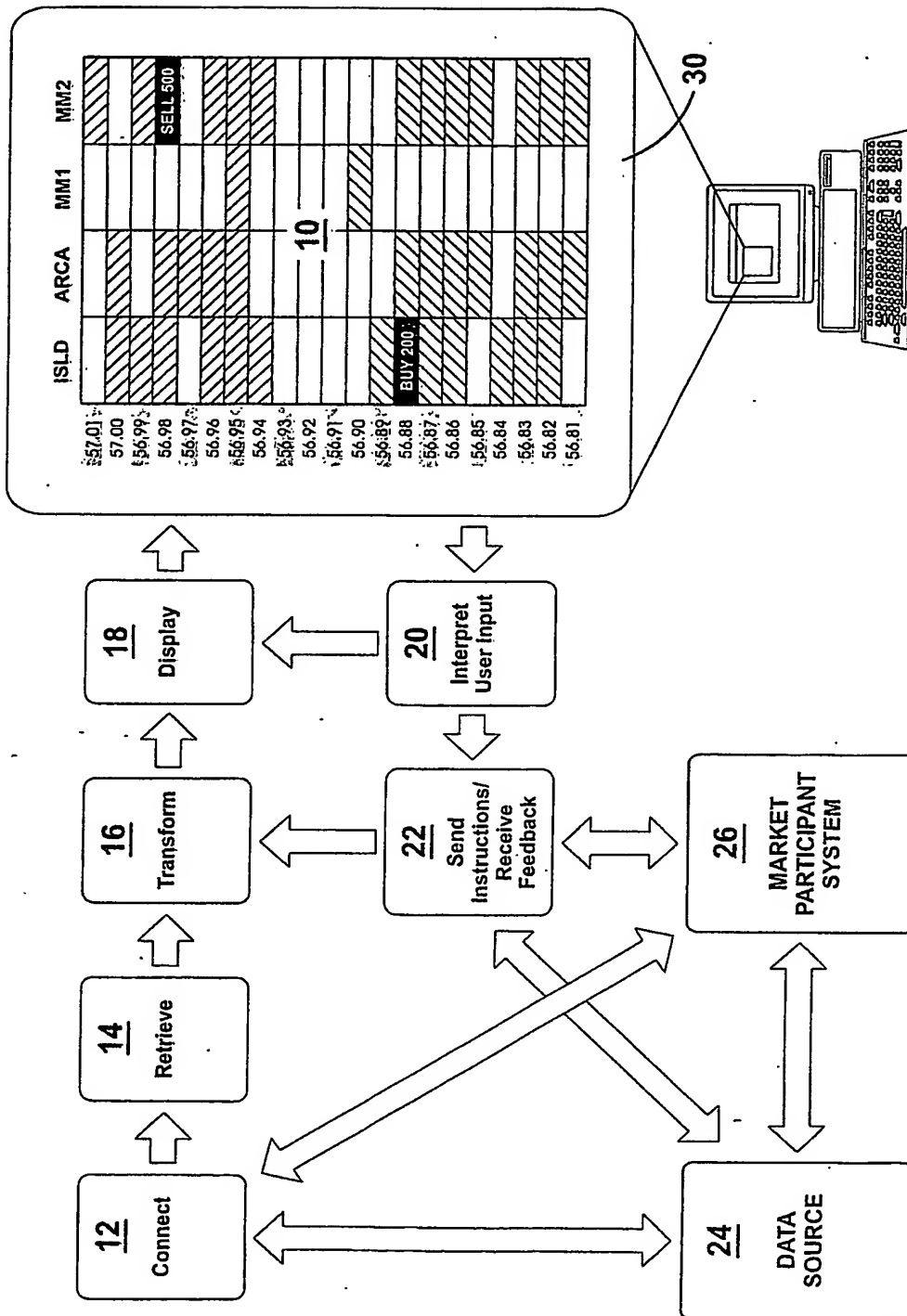


Fig. 1

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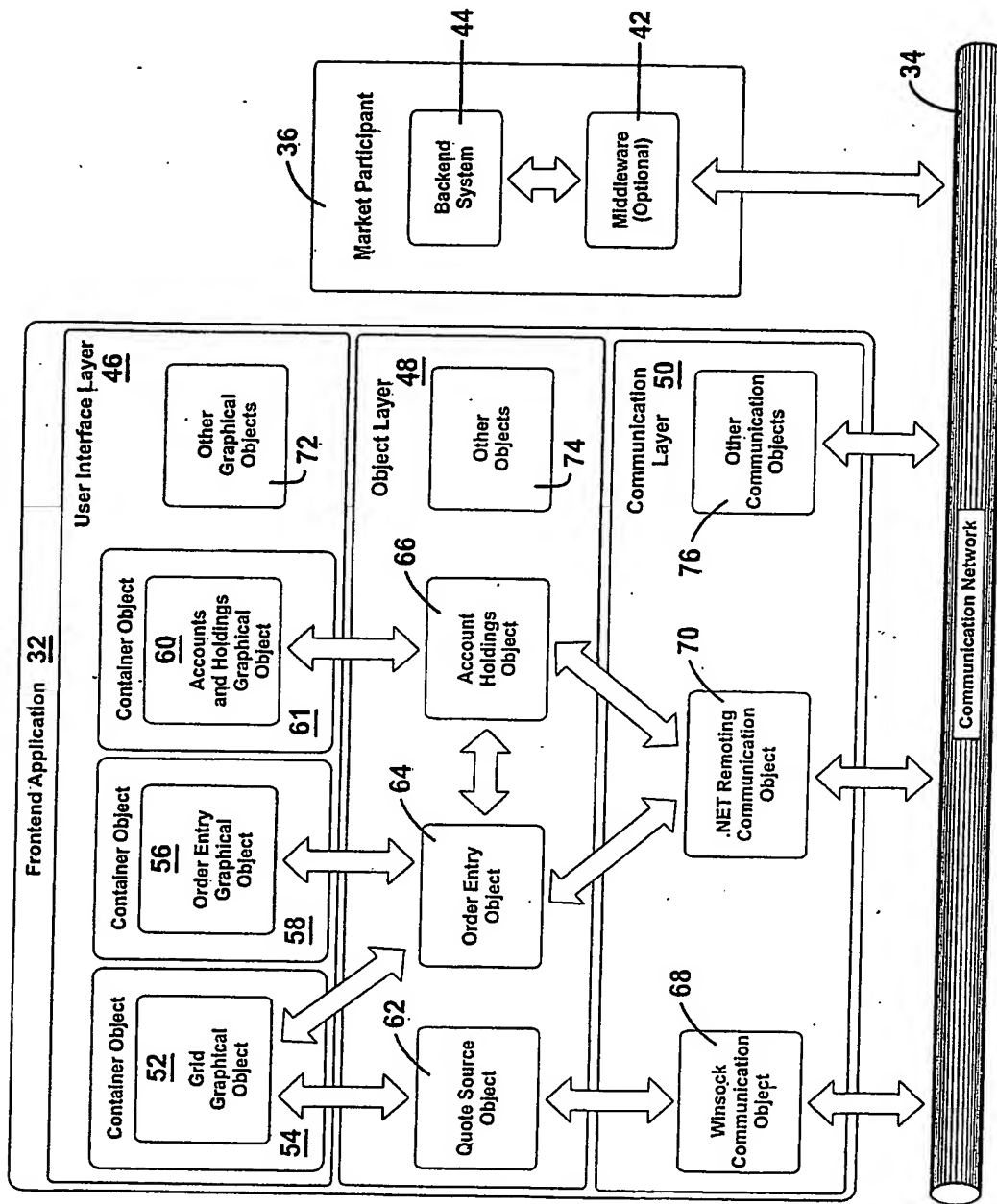


Fig. 2

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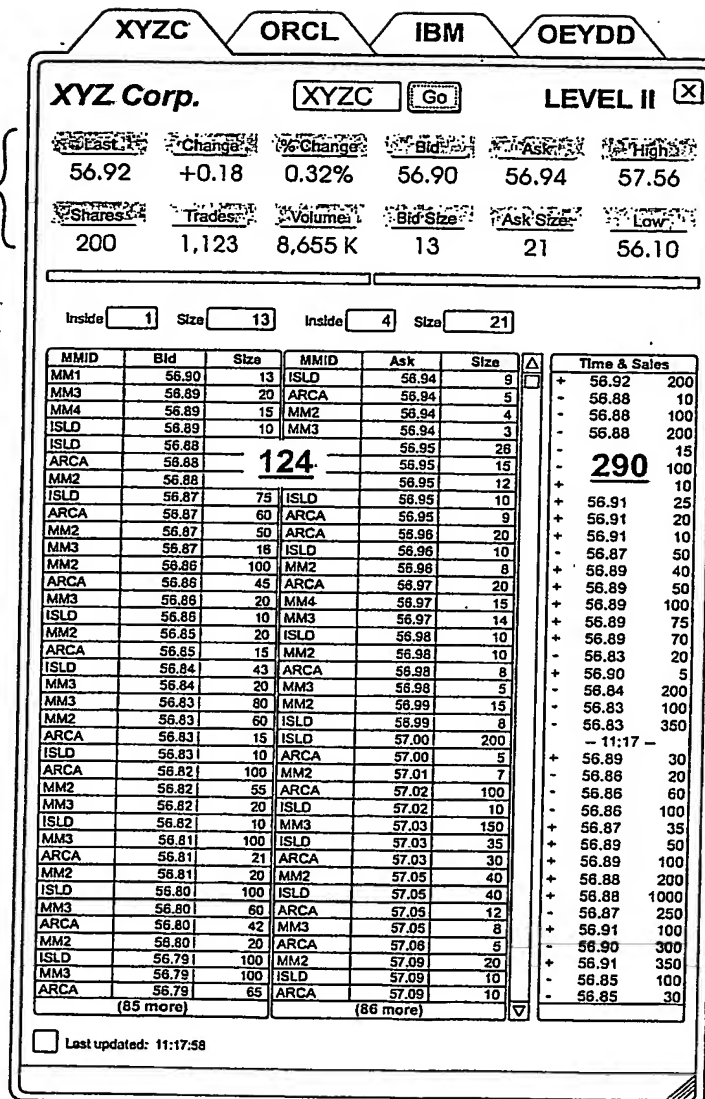
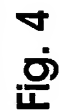


Fig. 3



132

Shares	Symbols	Company	Fill Price	Current Price	Share P/L	Profit/Loss
500	XYZC	XYZ Corporation	56.26	56.92	+ 0.66	\$ 330.00
450	LMNO	LMNO Group	84.12	65.03	+ 0.91	\$ 409.50
400	WXY	WXY Corporation	45.12	45.18	+ 0.06	\$ 24.00
300	KLM	KLM Manufacturing	28.15	27.01	+ 0.88	\$ 258.00
250	GHI	GHI Incorporated	13.56	13.01	- 0.55	- \$ 137.50
200	BCD	BCD Technologies	14.23	15.52	+ 1.29	\$ 258.00

136

Fig. 5

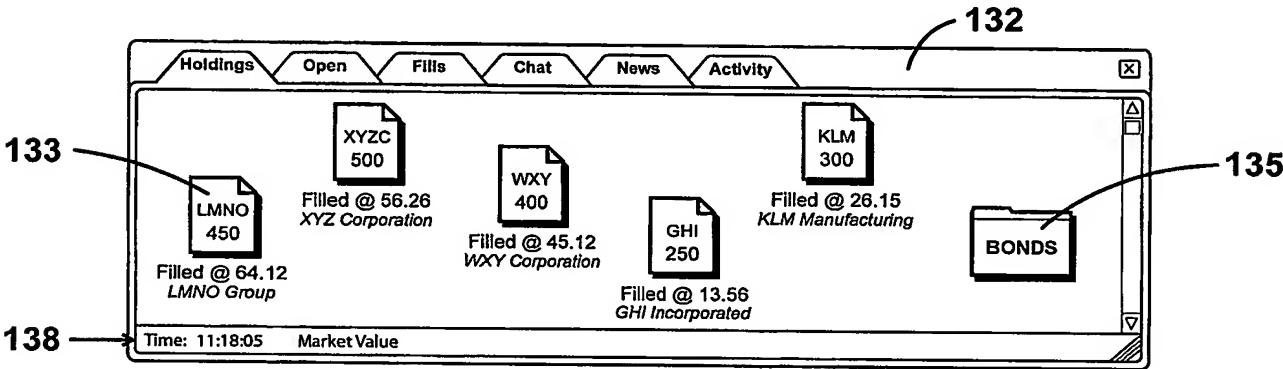


Fig. 6

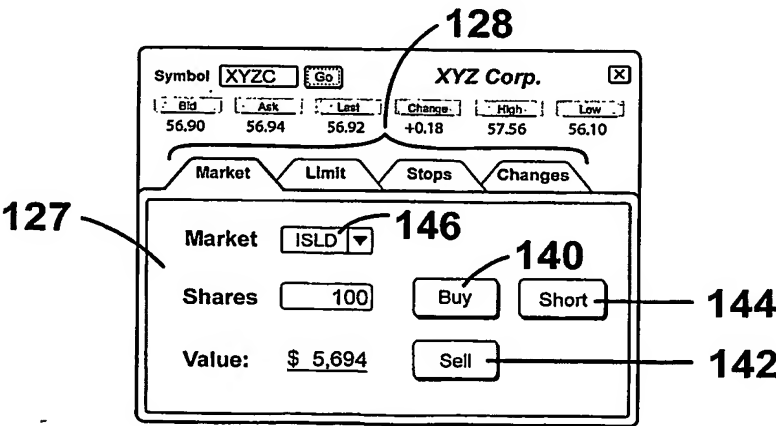


Fig. 7

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Symbol   XYZ Corp.

Bid	Ask	Last	Change	High	Low
56.90	56.94	56.92	+0.18	57.56	56.10

Market Limit Stops Changes

148 Market

Shares

Price

Value: \$ 5,690

140 Buy 144 Short

142 Sell 150 Terms

Fig. 8

128

Symbol   XYZ Corp.

Bid	Ask	Last	Change	High	Low
56.90	56.94	56.92	+0.18	57.56	56.10

Market Limit Stops Changes

152 Order

Stop Price  Stop Buy 154 Stop Buy Limit 156

Limit Price  Stop Loss 158 Stop Loss Limit 160

Fig. 9

128

Symbol   XYZ Corp.

Bid	Ask	Last	Change	High	Low
56.90	56.94	56.92	+0.18	57.56	56.10

Market Limit Stops Changes

162 Market

166 Order Ref

168 New Shares

170 New Price

171 Cancel Order

172 Submit 174 Terms

Fig. 10

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Change	Type	Symbol	Quantity	Price	Good Till	Time Entered	Order Ref
CHG	BUY	XYZC	200	56.90	02/12/2001	11:15:23	D43612
CHG	SHORT	LMNO	100	65.02	02/12/2001	10:29:56	D42997
CHG	BUY	KLM	100	26.98	02/12/2001	02/12/2001	D42967
CHG	BUY	XYZC	100	56.98	02/12/2001	10:05:48	D42876
CHG	SELL	BCD	100	15.48	02/16/2001	09:56:21	D42780
CHG	BUY	WXY	100	45.23	02/12/2001	09:45:01	D42654

Fig. 11

Order Ref: D42876  
BUY 100 @ 56.98  
Amount: \$ 5,698  
DAY ORDER

Change Volume  
Change Price...  
Set Stop Price...  
Terms...  
New Order...  
List View  
Detailed View  
Cancel Order

Fig. 12

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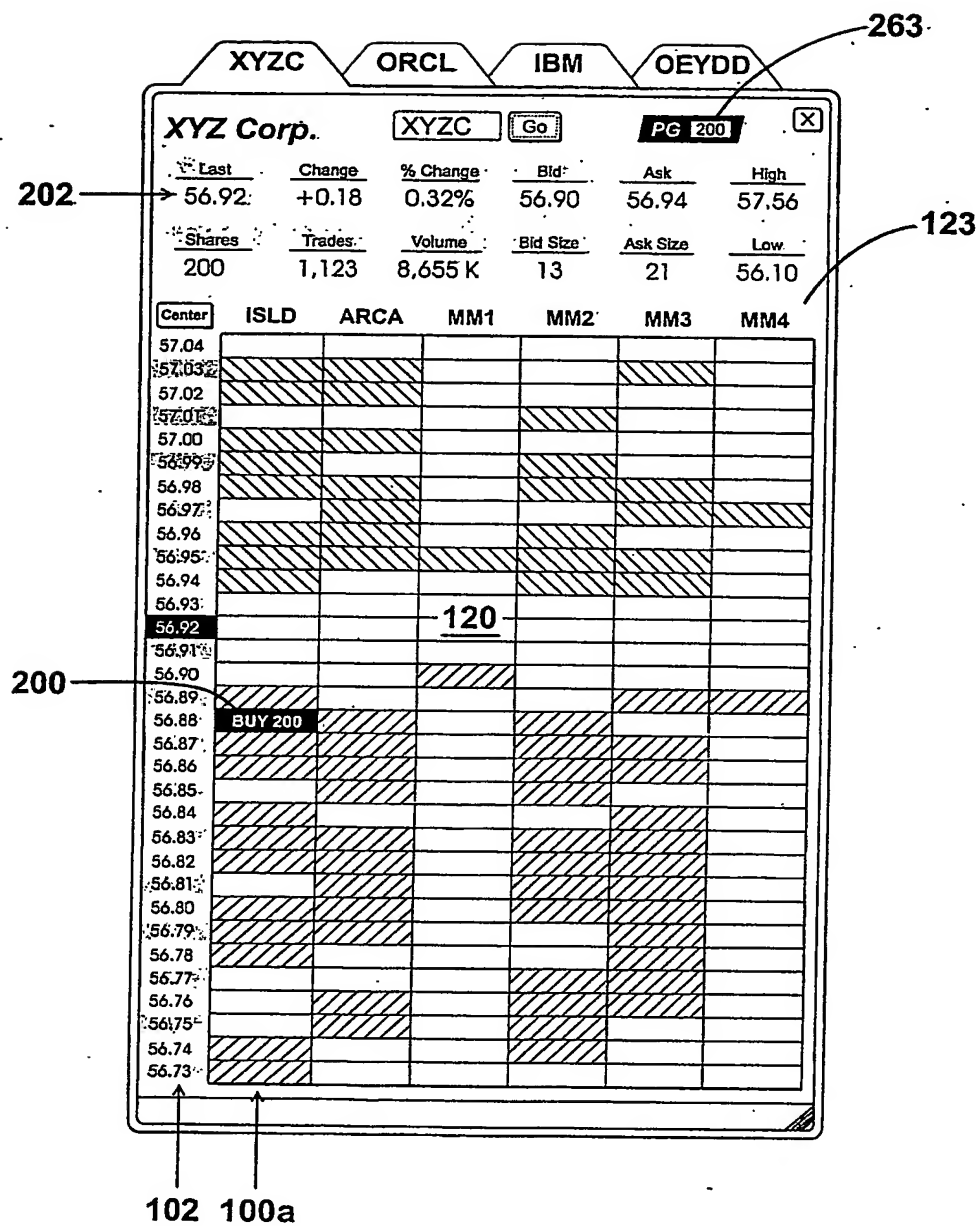


Fig. 13



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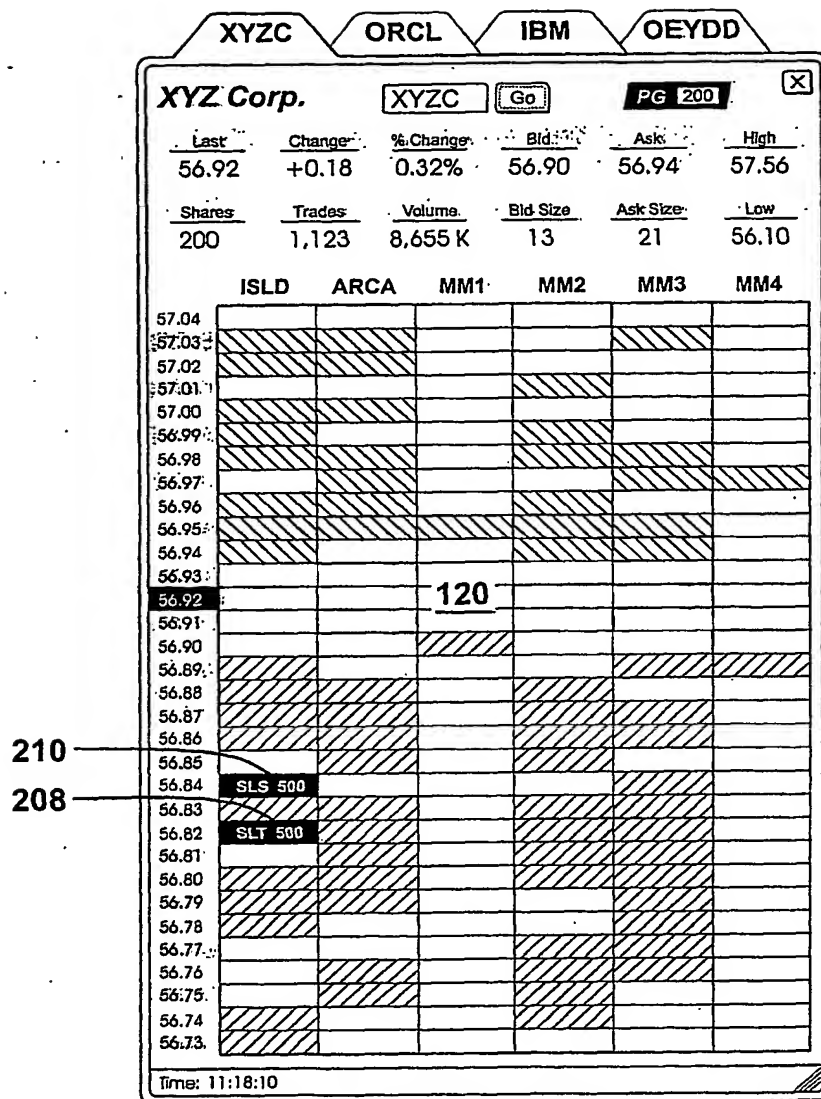


Fig. 14

10/85

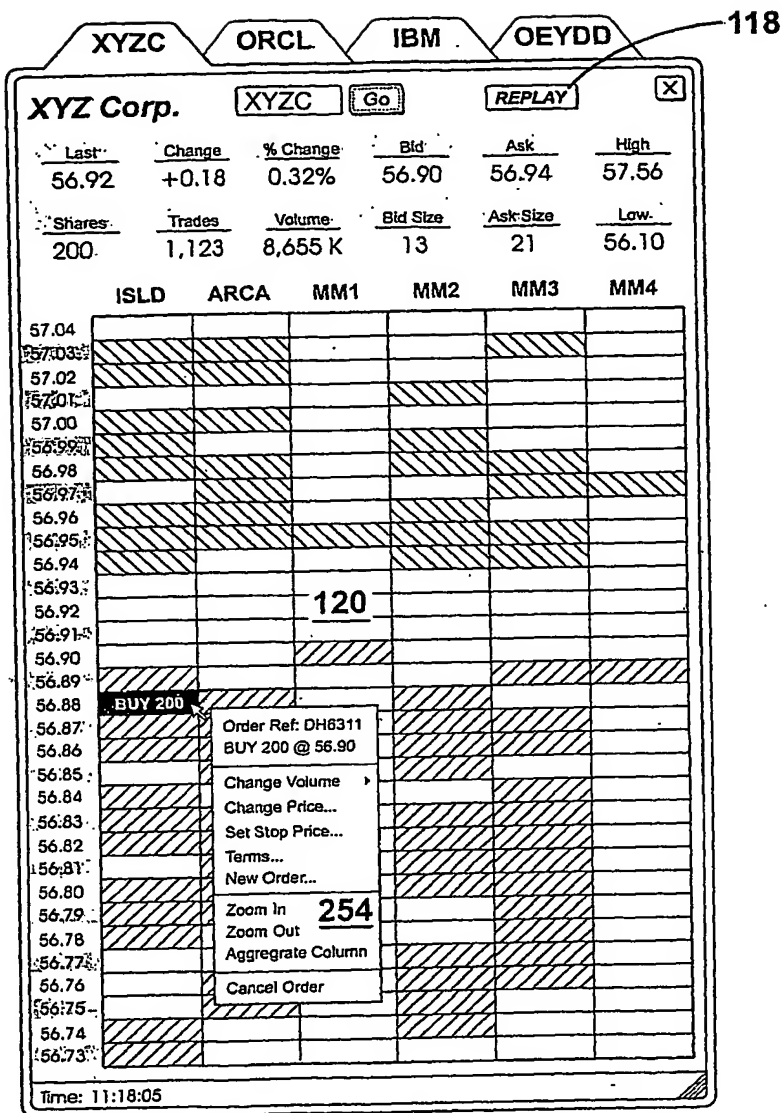
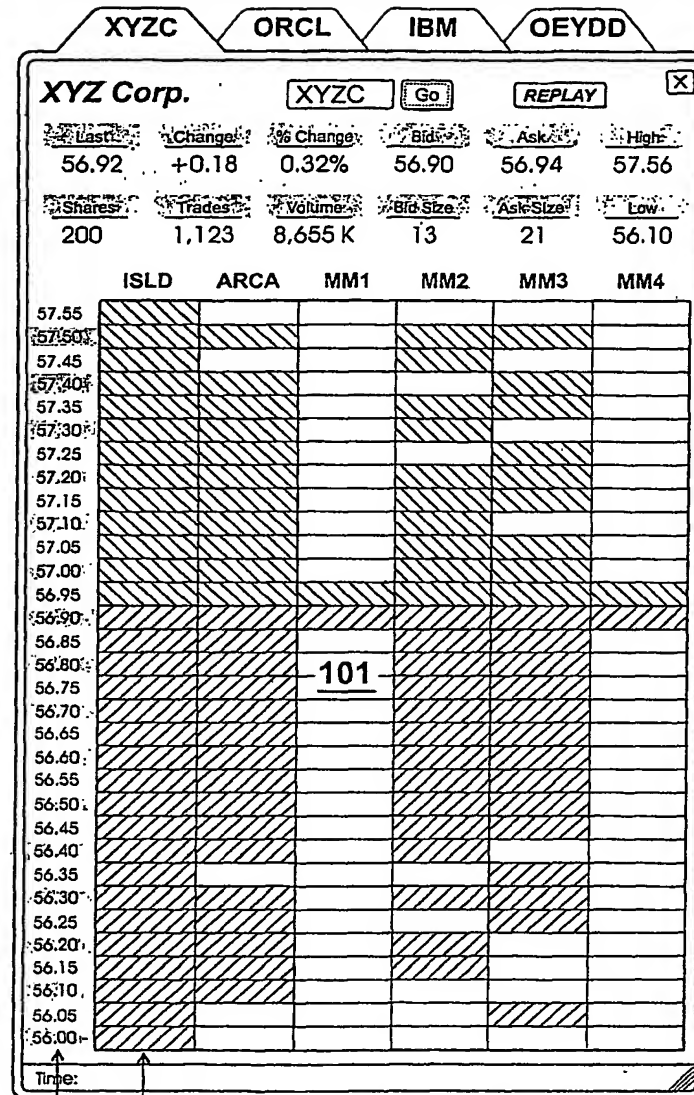


Fig. 15

11/85



102 100a

Fig. 16

12/85

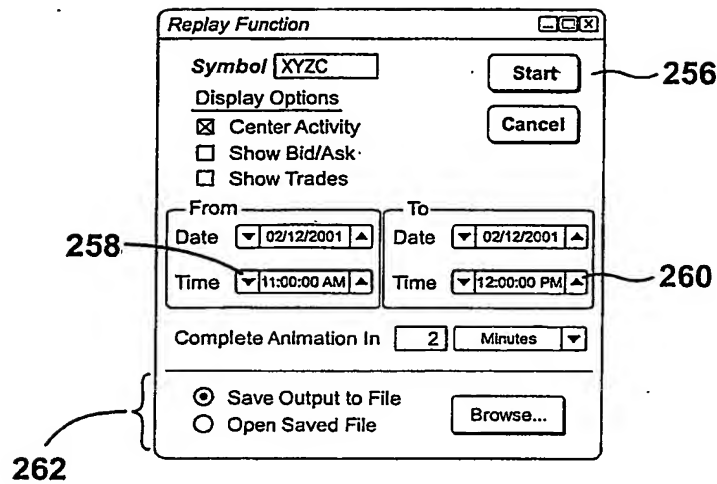


Fig. 17

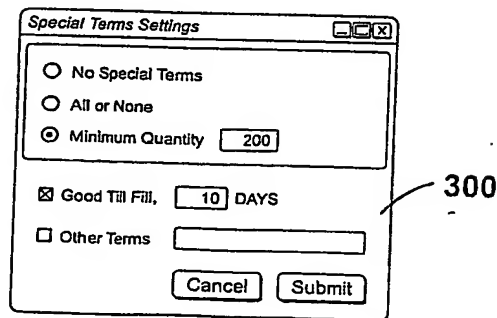


Fig. 18

13/85

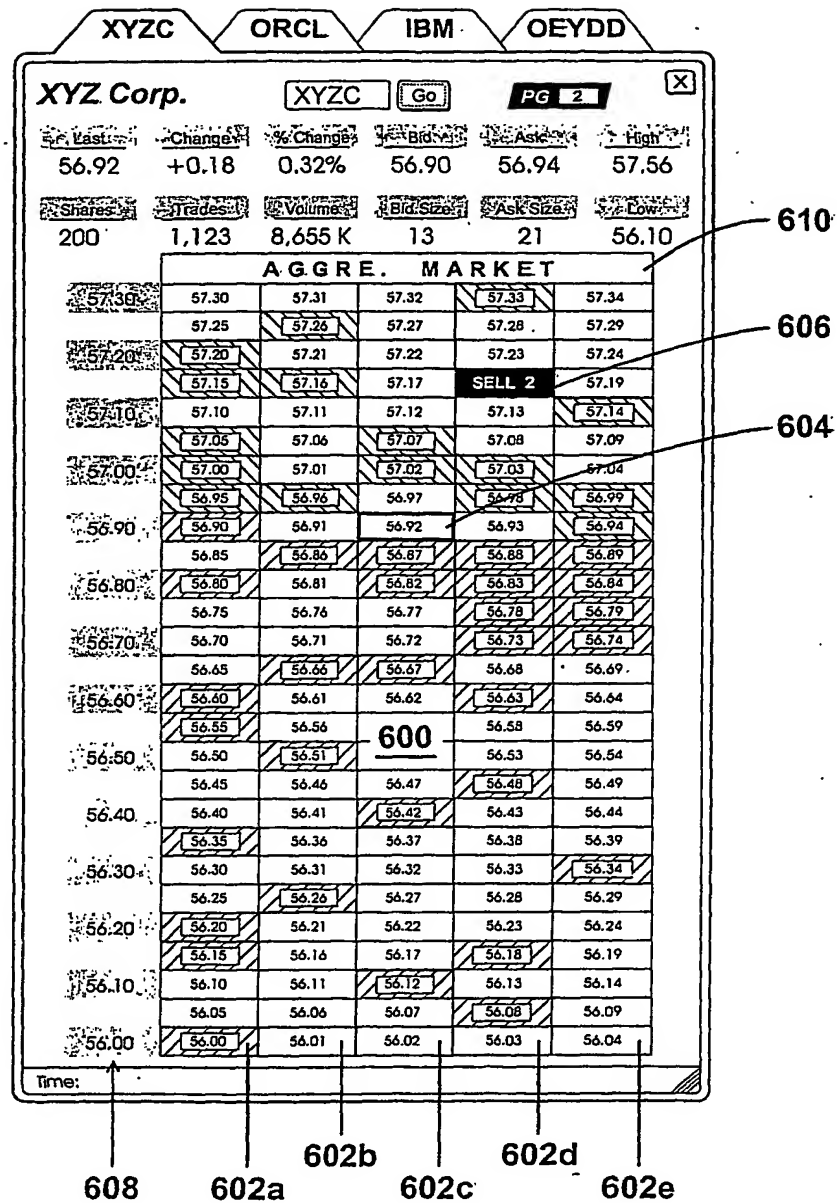


Fig. 19

14/85

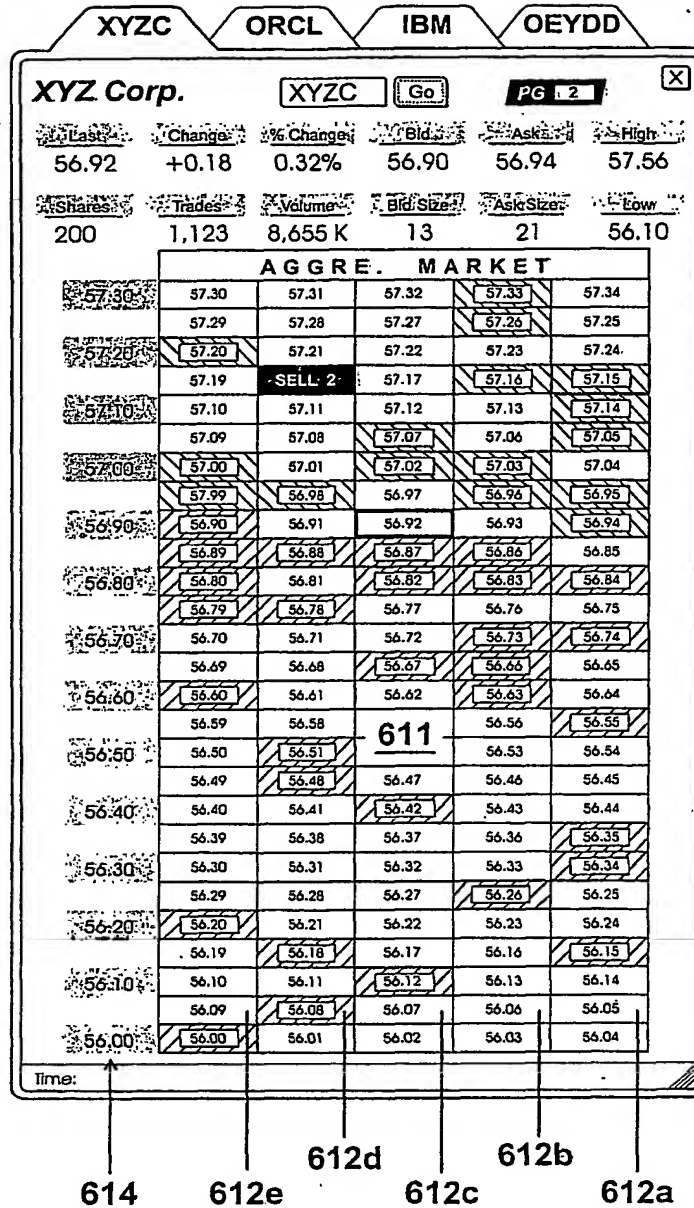
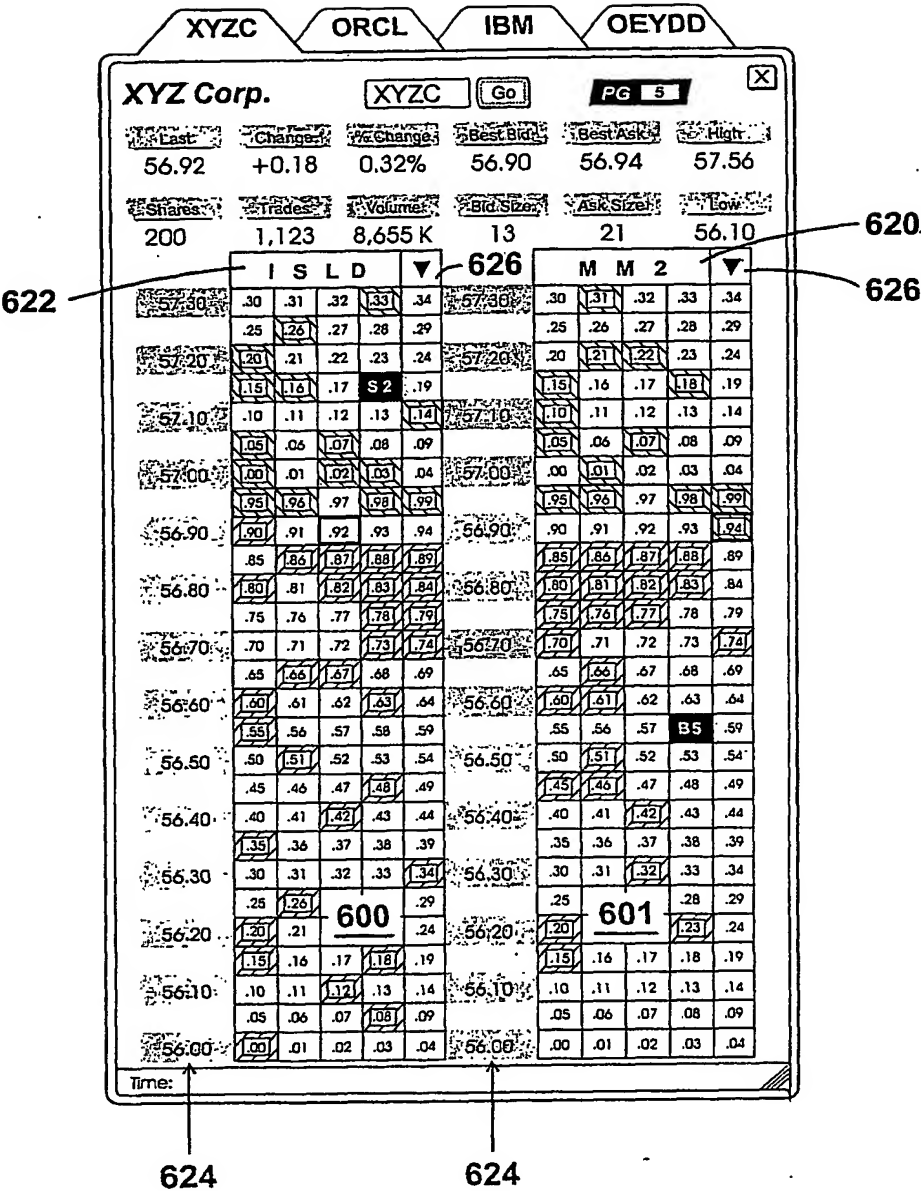


Fig. 20

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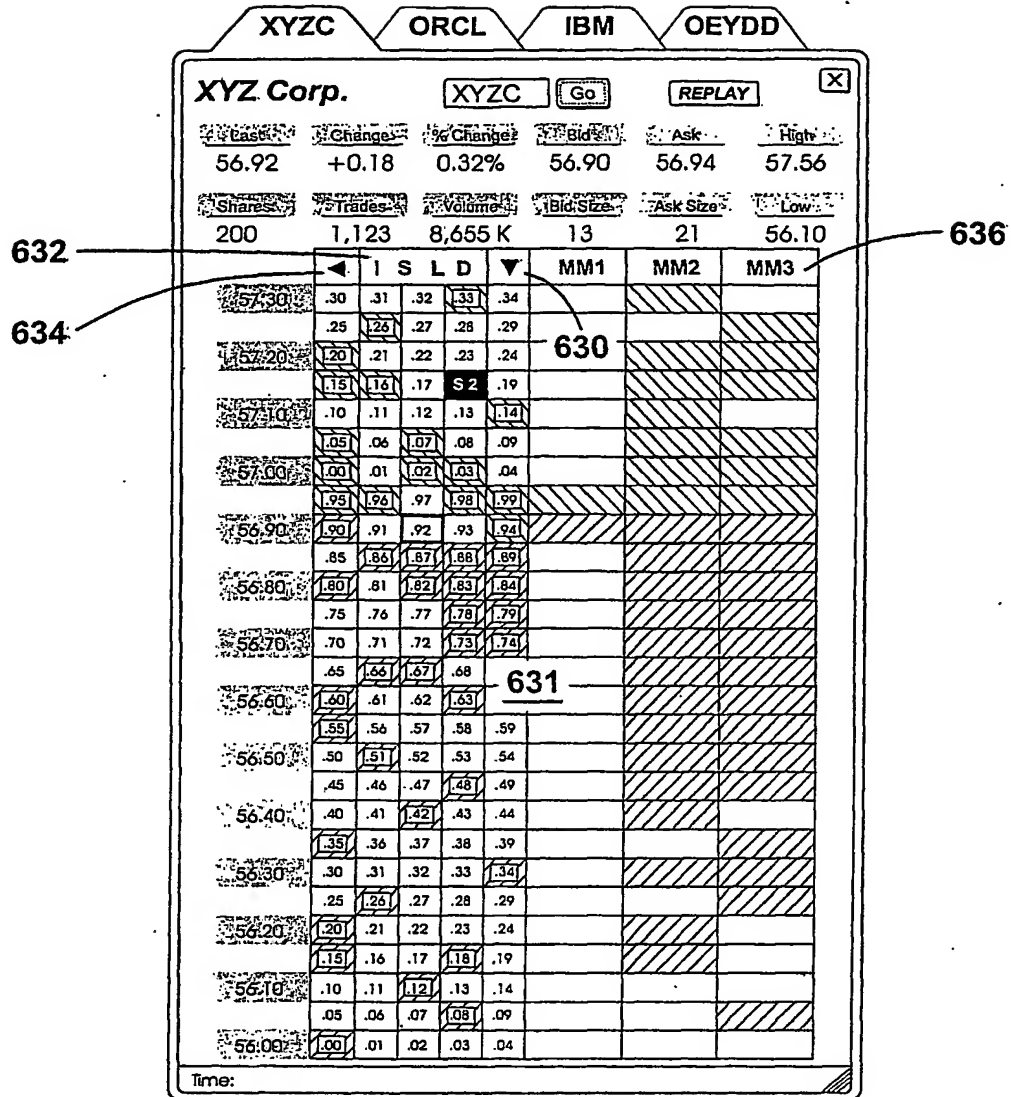


Fig. 22



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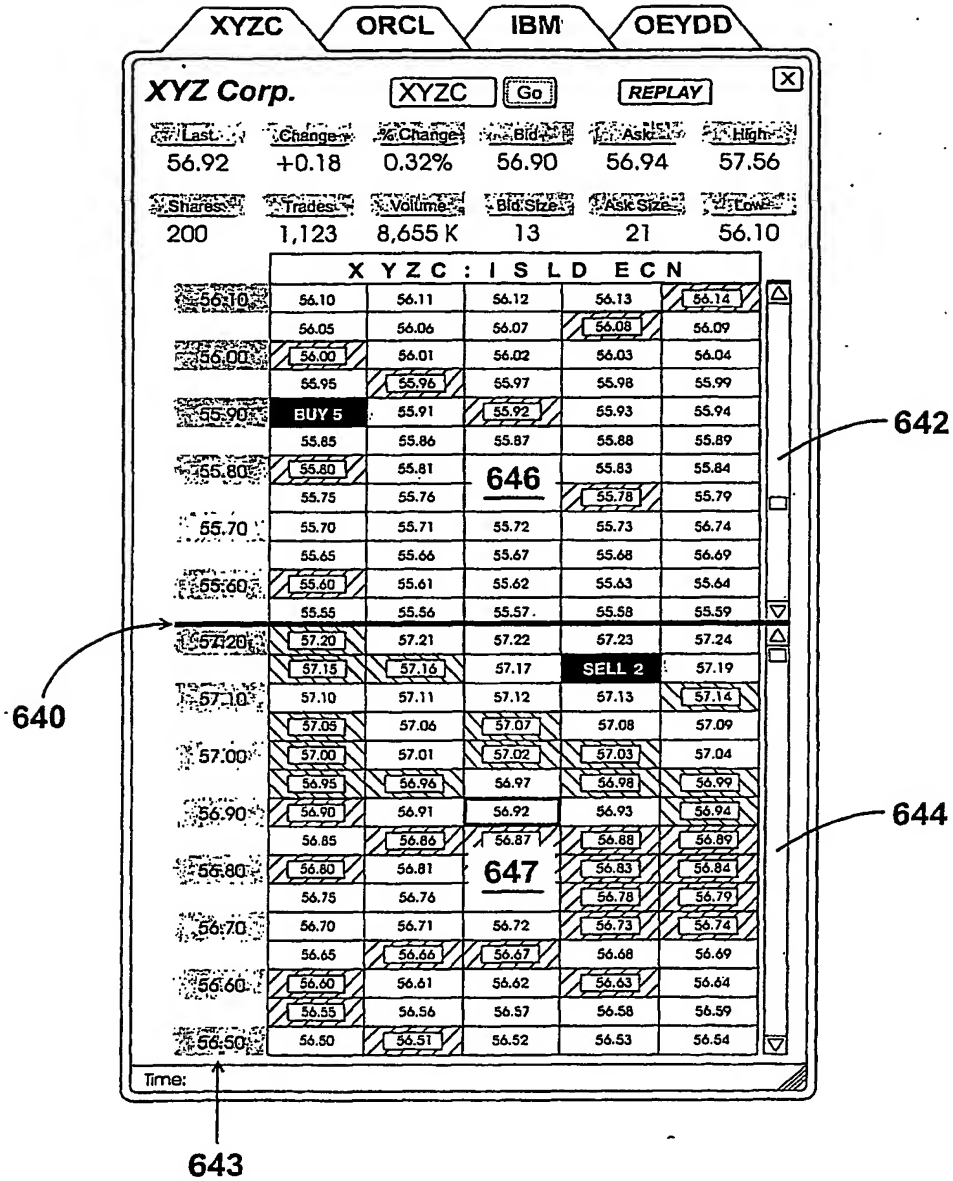


Fig. 23

18/85

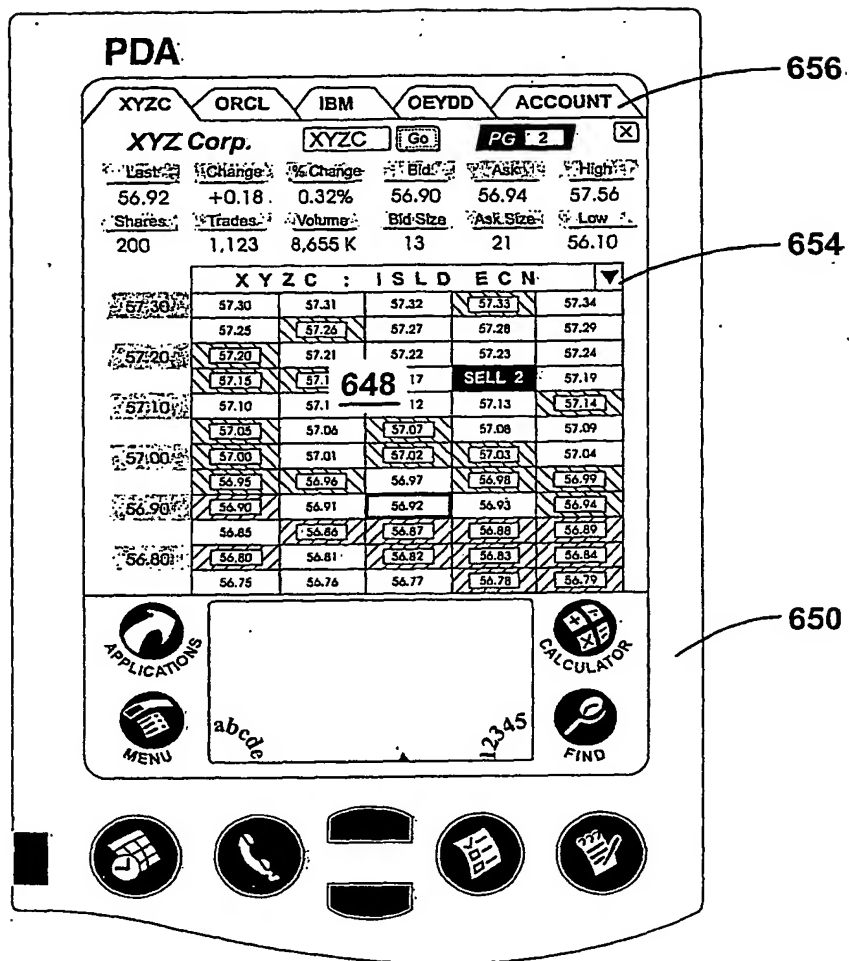


Fig. 24

19/85

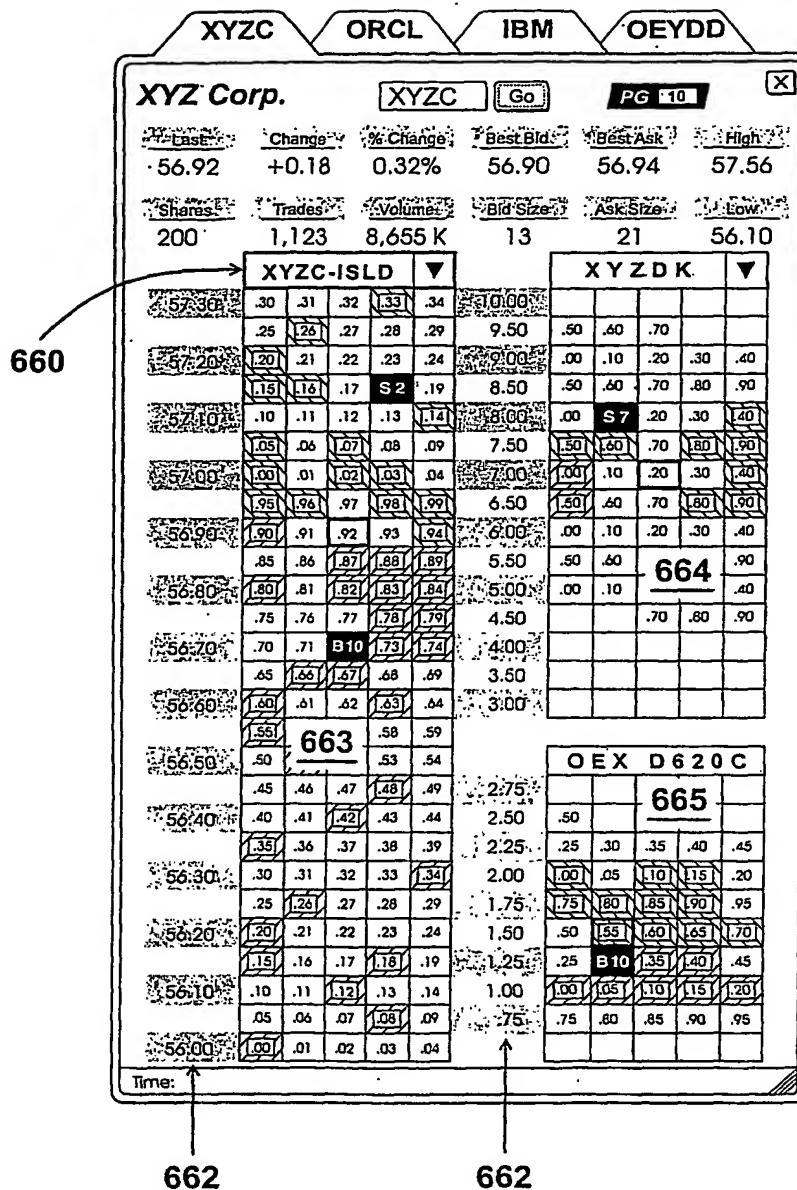


Fig. 25

20/85

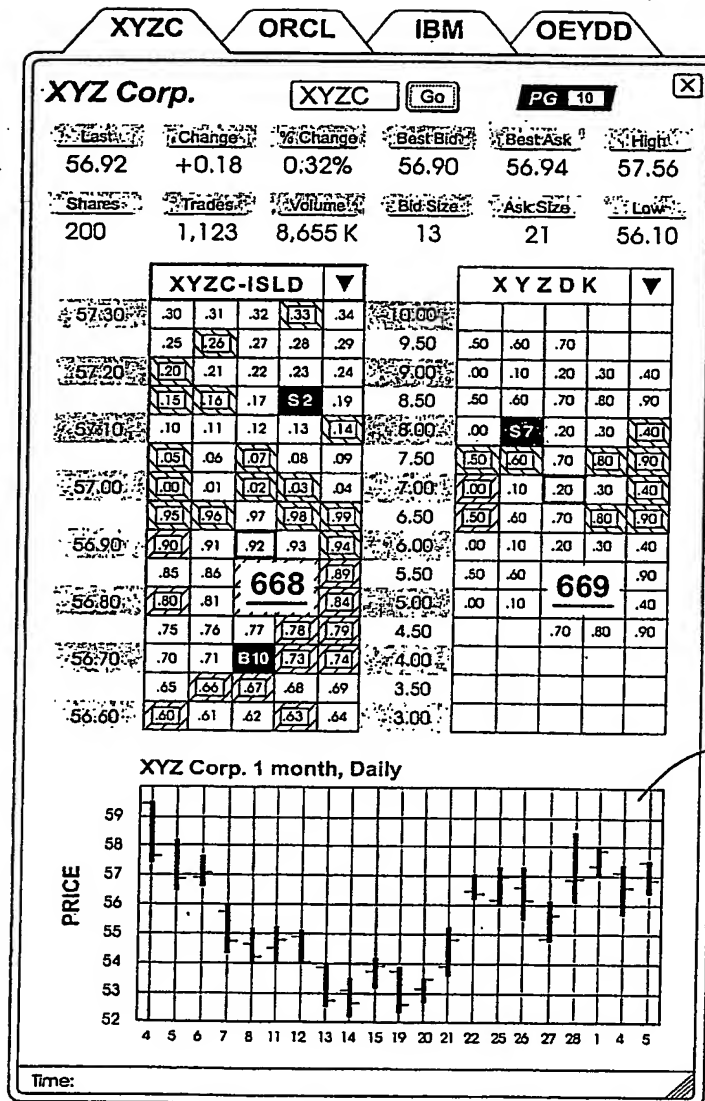


Fig. 26

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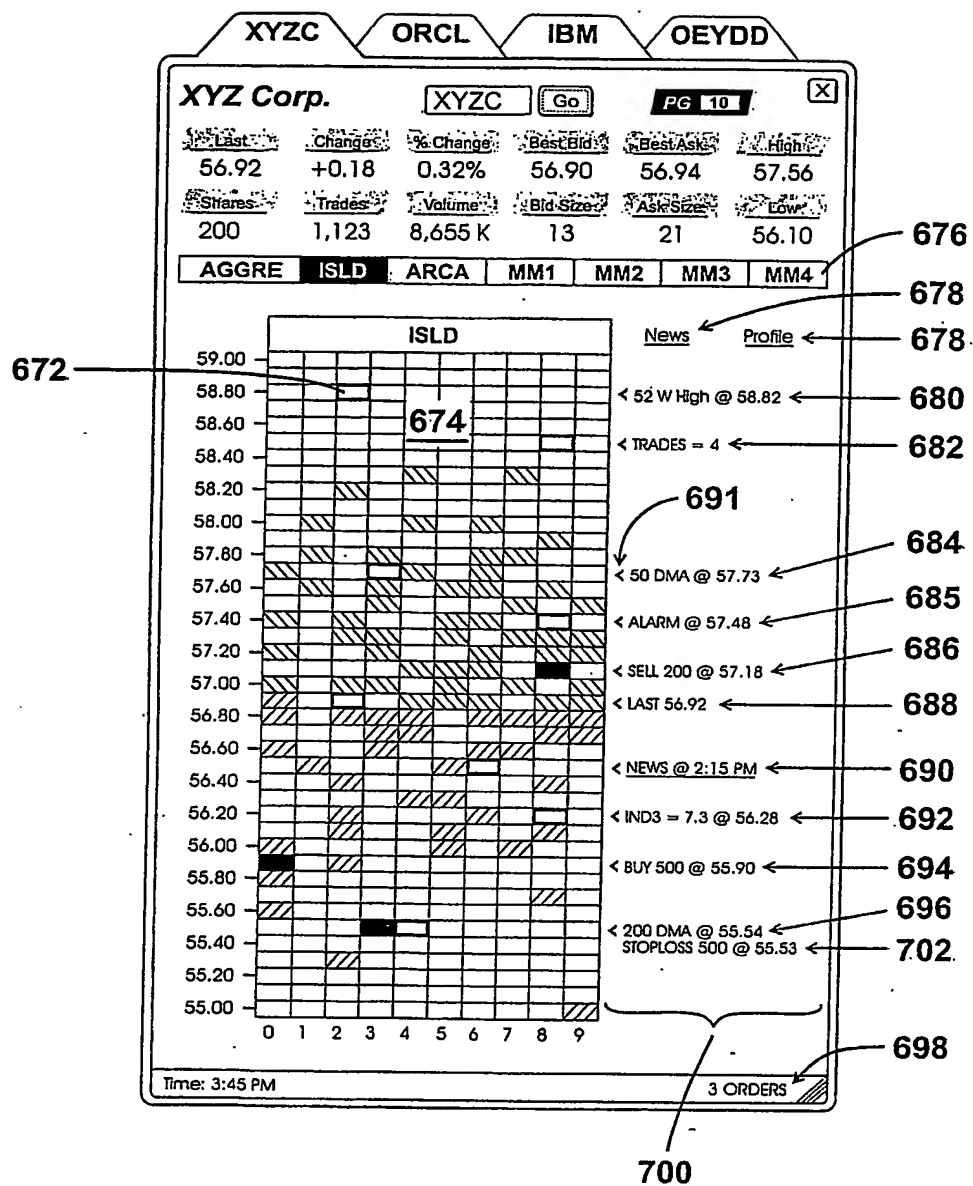


Fig. 27

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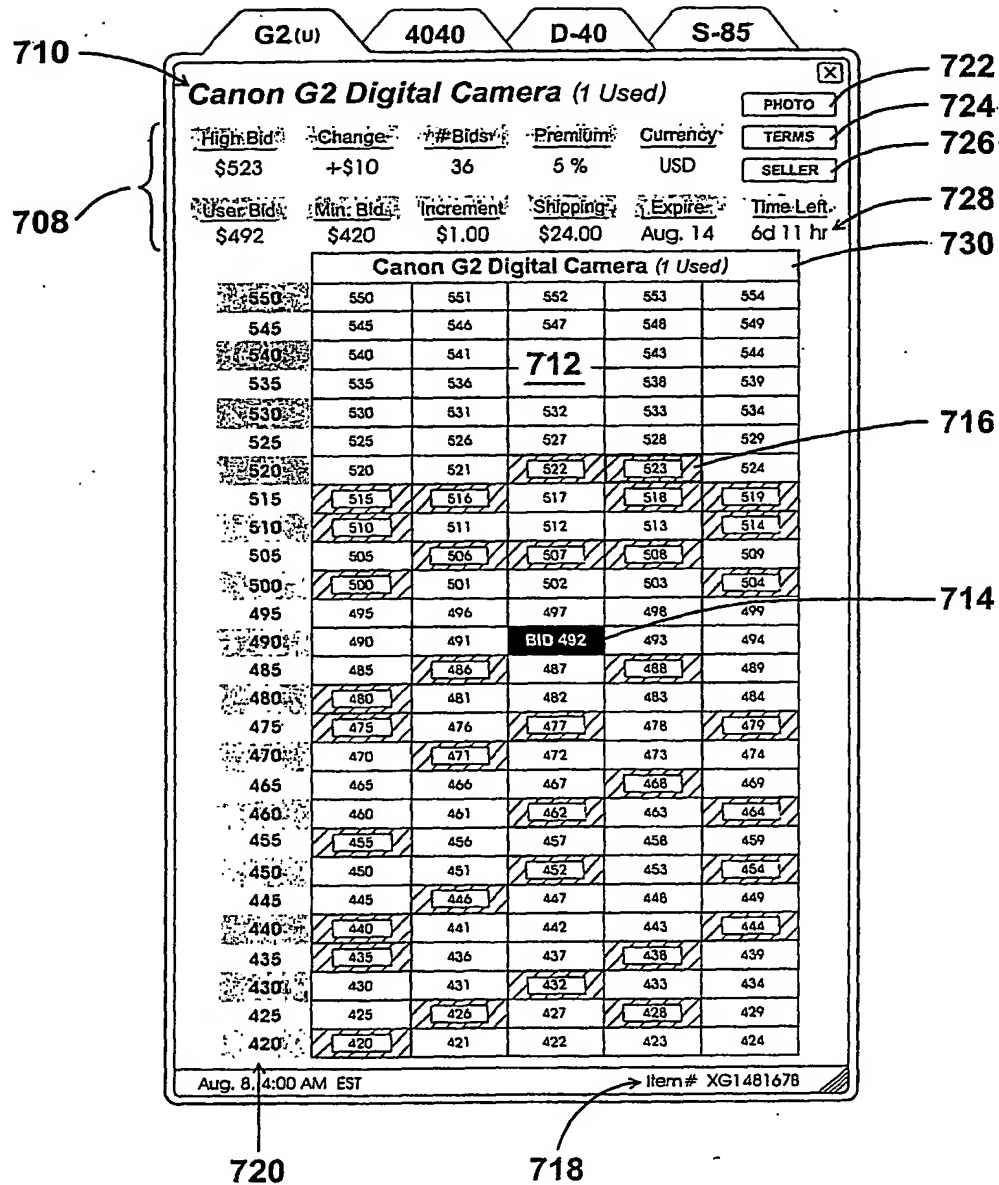


Fig. 28

23/85

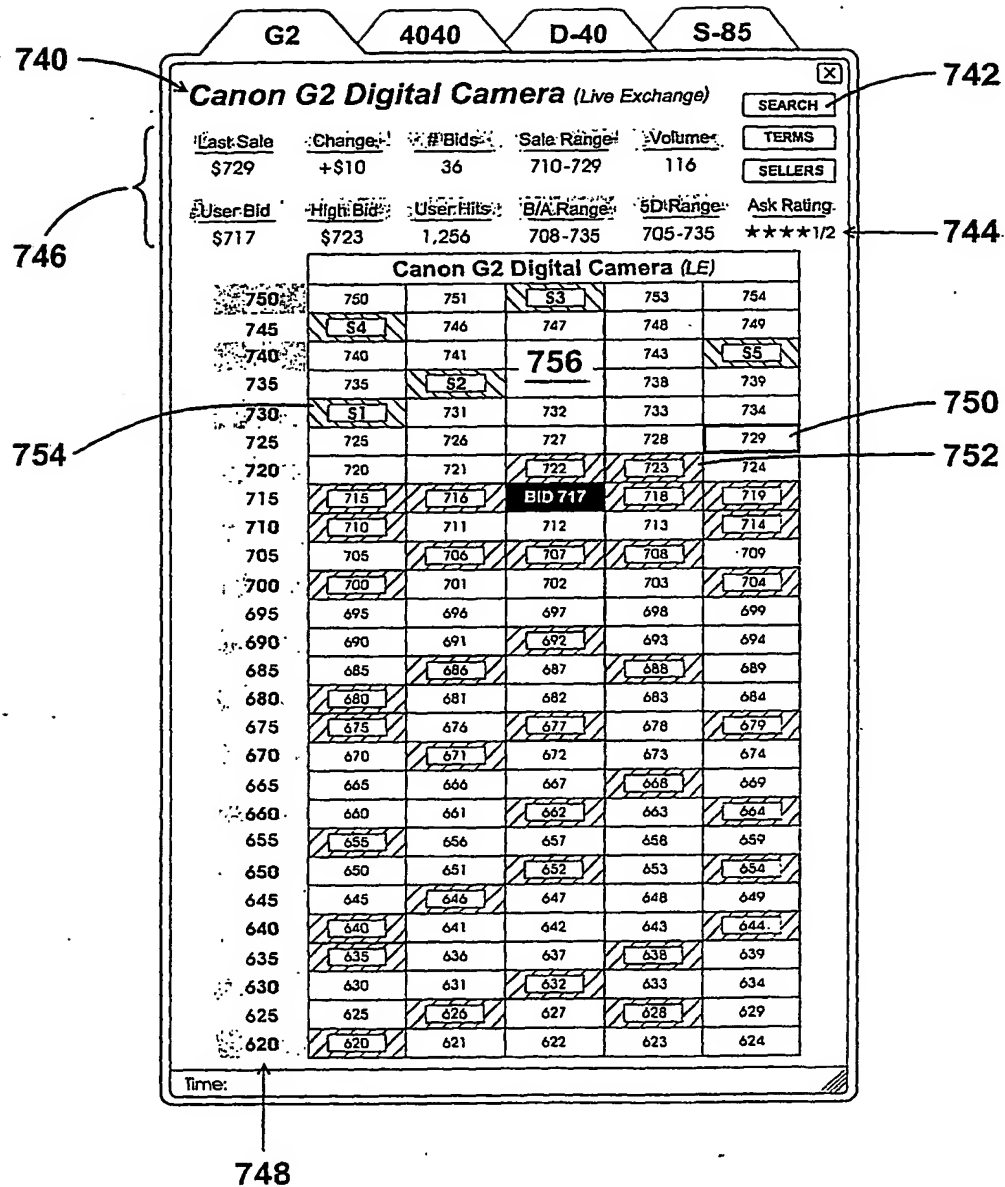


Fig. 29

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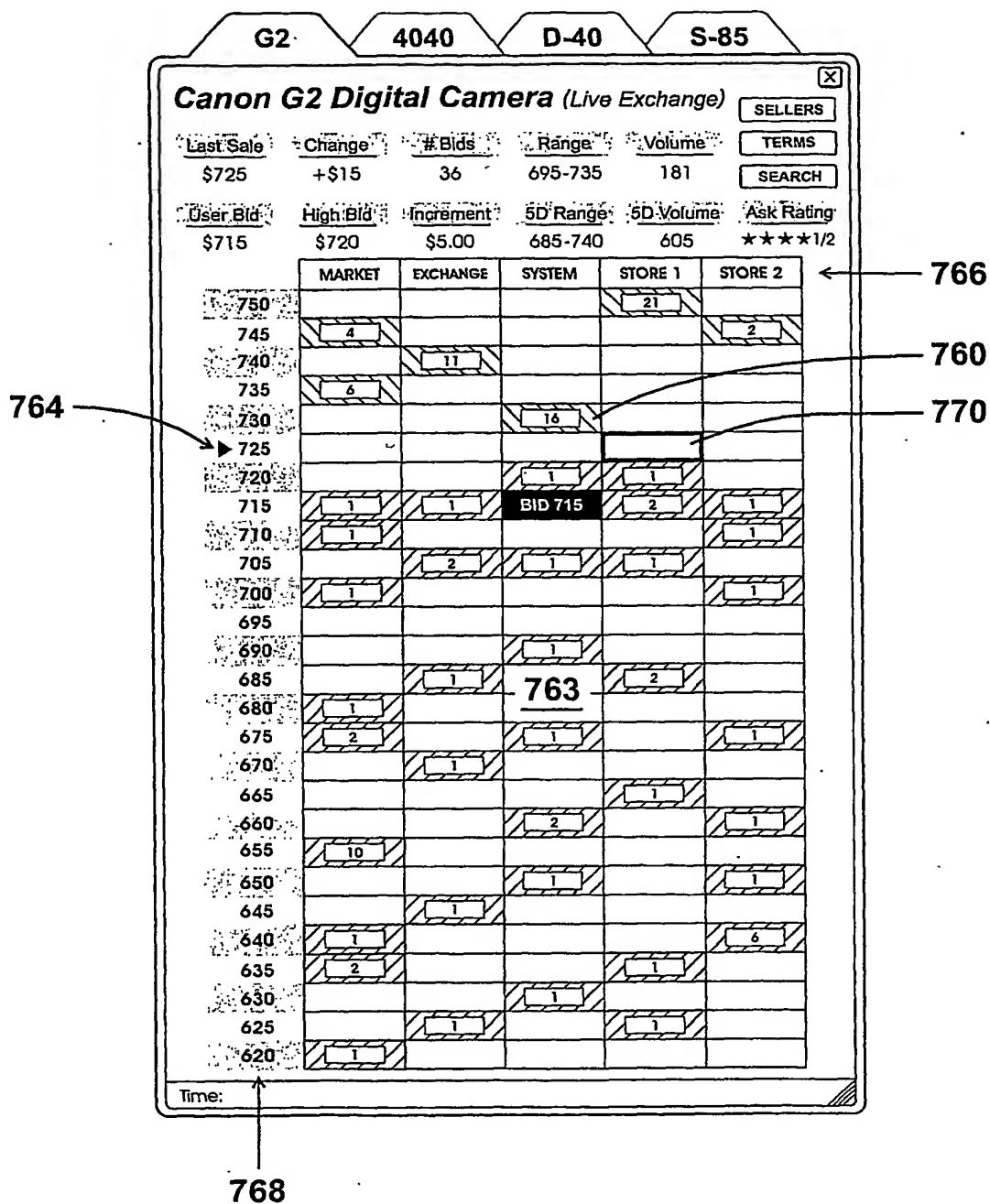


Fig. 30



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780

Flight FL3309 Event M. SAIGON Hotel HYATT Rent AVIS

**Airline Flight 3309 Dec. 16 @ 2:15 pm** ☒ OK ☐

SEAT MAP TERMS SEARCH

**Departure Airport** SAN FRANCISCO INTL  
2:15 pm, Dec. 16, '02

**Arrival Airport** NYC, LA GUARDIA  
10:30 pm, Dec. 16, '02

MR. JOHN DOE High Bid: \$630 Last: \$641 Auction: Dutch Seats: 2/10 Expiry: 12d 21hr

782

792

784

785

790

787

	Business (10)		Economy (60)		First Class (5)	
650	650	651	652	653	654	
645	645	646	647	648	649	
640	640	641	642	643	644	
635	635	636	637	638	639	
630	630	631	632	633	634	
625	625	BID 626	627	628	629	
620	620	621	622	623	624	
615	615	616	617	618	619	
610	610	611	612	613	614	
605	605	606	BID 607	608	609	
600	600	601	602	603	604	
595	595	596	597	598	599	
590	590	591	592	593	594	
585	585	586	788	588	589	
580	580	581		583	584	
575	575	576	577	578	579	
570	570	571	572	573	574	
565	565	566	567	568	569	
560	560	561	562	563	564	
555	555	556	557	558	559	
550	550	551	552	553	554	
545	545	546	547	548	549	
540	540	541	542	543	544	
535	535	536	537	538	539	
530	530	531	532	533	534	
525	525	526	527	528	529	
520	520	521	522	523	524	

Dec. 3, 2002 1:14 PM PST 2 Bids, 4 Tickets

786

Fig. 31

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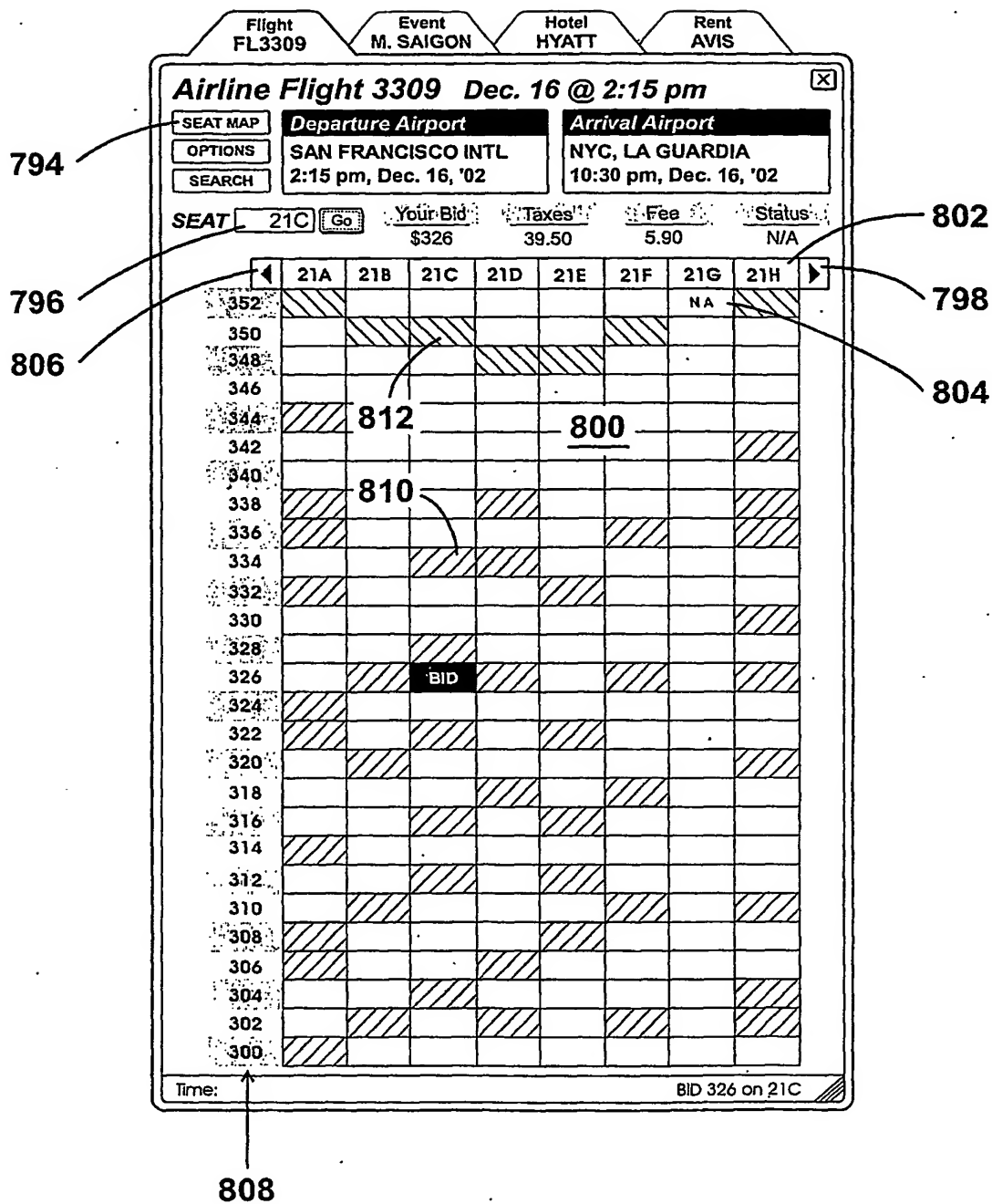


Fig. 32

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Flight FL3309    Event M. SAIGON    Hotel HYATT    Rent AVIS

**Airline Flight 3309 Dec. 16 @ 2:15 pm**

SEAT MAP    Departure Airport    Arrival Airport  
OPTIONS    SAN FRANCISCO INTL    NYC, LA GUARDIA  
SEARCH    2:15 pm, Dec. 16, '02    10:30 pm, Dec. 16, '02

ARRANGE BY:    Bid Price    Taxes    Fee    Tickets  
LOCATION    \$326    39.50    5.90    1/1

PRICE	21C	ROW	A	B	C	D	E	F	G
352		9	483	419	373	355	350	374	418
350		10	432	418	366	312	314	NA	413
348		11	NA	427	365	300	312	327	420
346		12	445	472	335	313	298	332	410
344		13	436	496	331	288	253	351	435
342		14	NA	NA	NA	NA	263	356	445
340		15	480	378	325	261	288	375	422
338		16	395	394	345	303	290	387	399
336	824	17	403	435	339	301	261	316	424
334		18	420	NA	320	296	274	NA	423
332		19	425	463	309	294	316	361	412
330		20	433	465	346	318	316	356	416
328		21	447	373	342	327	294	338	407
326	BID	22	455	382	353	313	326	350	NA
324		23	499	403	344	294	351	426	
322		24	436	402	335	297	323	422	
320		25	456	404	340	300	303	373	442
318		26	NA	NA	331	302	302	357	402
316		27	485	378	317	294	339	375	435
314		28	405	388	314	298	293	343	413
312		29	409	406	327	308	279	386	408
310		30	449	410	334	303	272	380	432
308		31	462	414	NA	NA	NA	NA	415
306		32	474	458	336	287	351	361	442
304		33	NA	NA	343	263	344	369	451
302		34	475	468	378	323	353	386	460

Time:    822    820

818    816    828    826

Fig. 33

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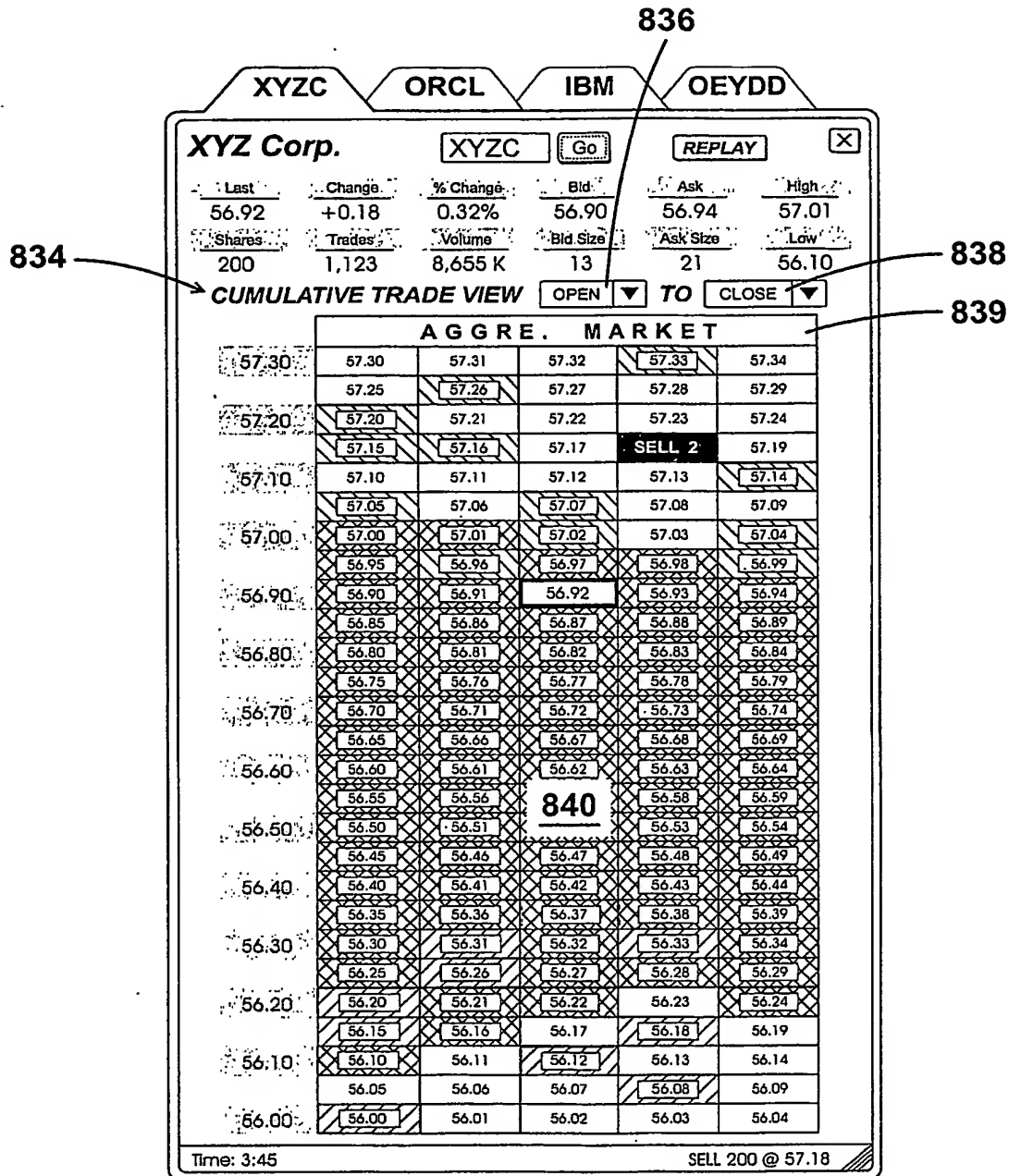


Fig. 34

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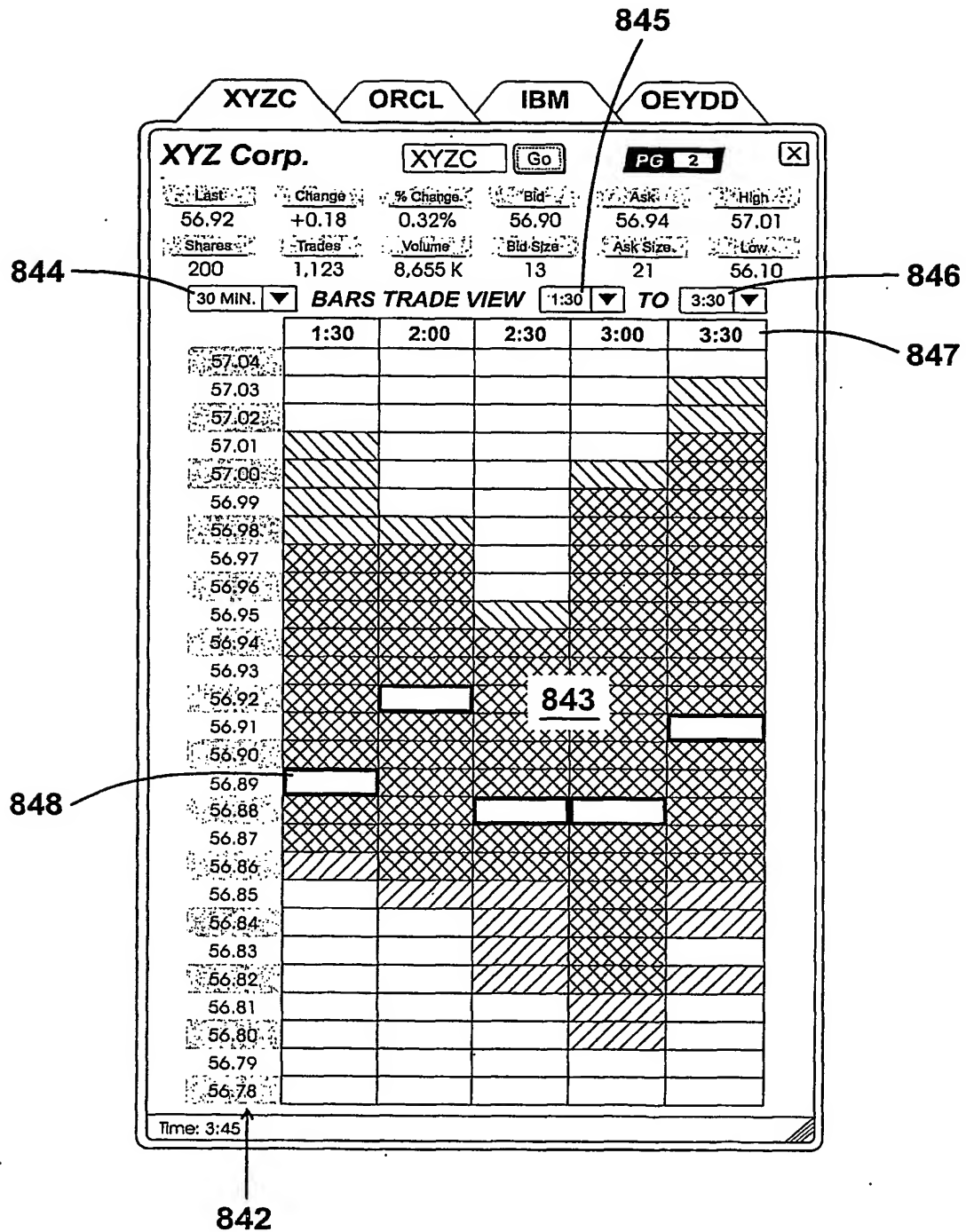


Fig. 35

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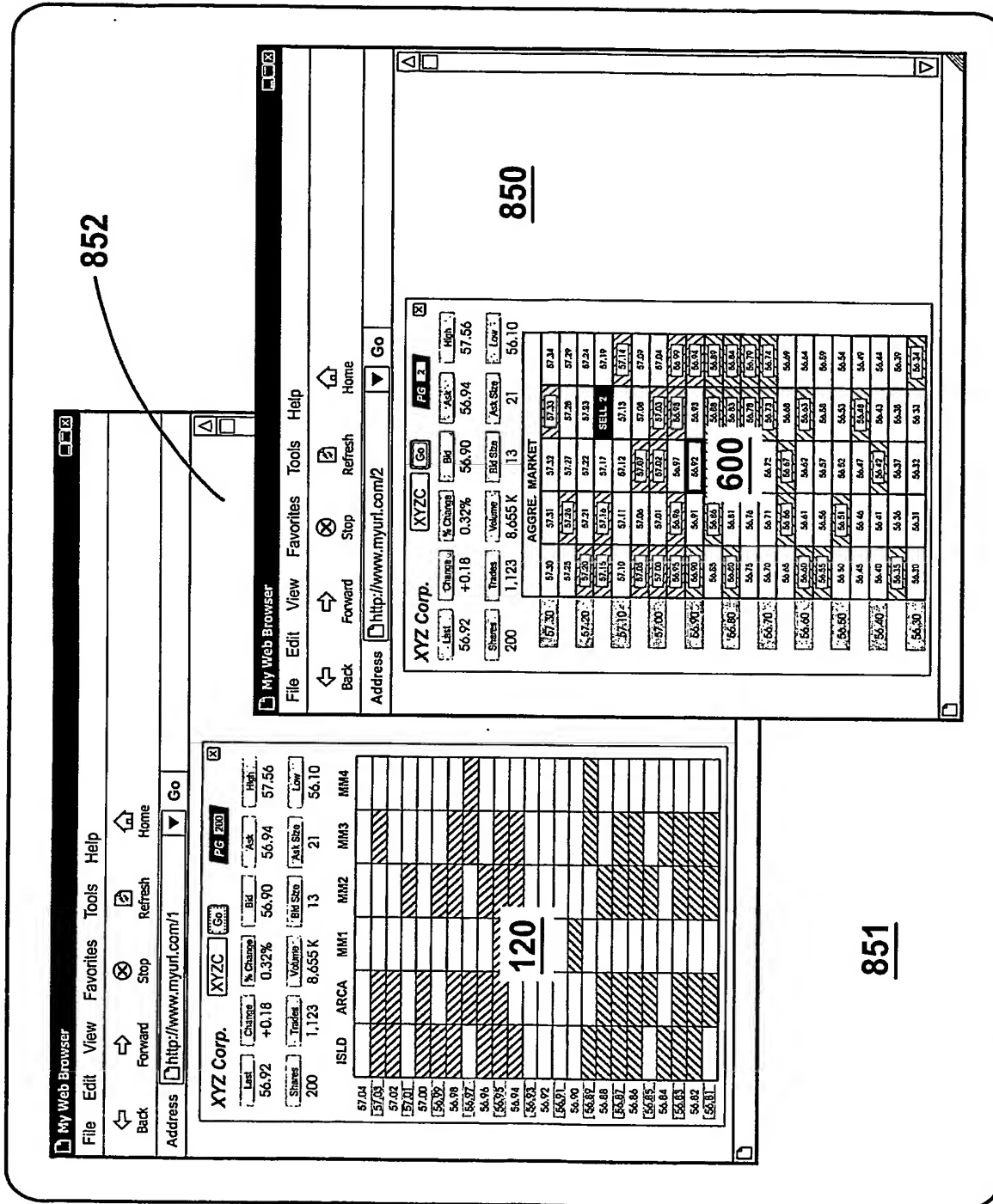


Fig. 36

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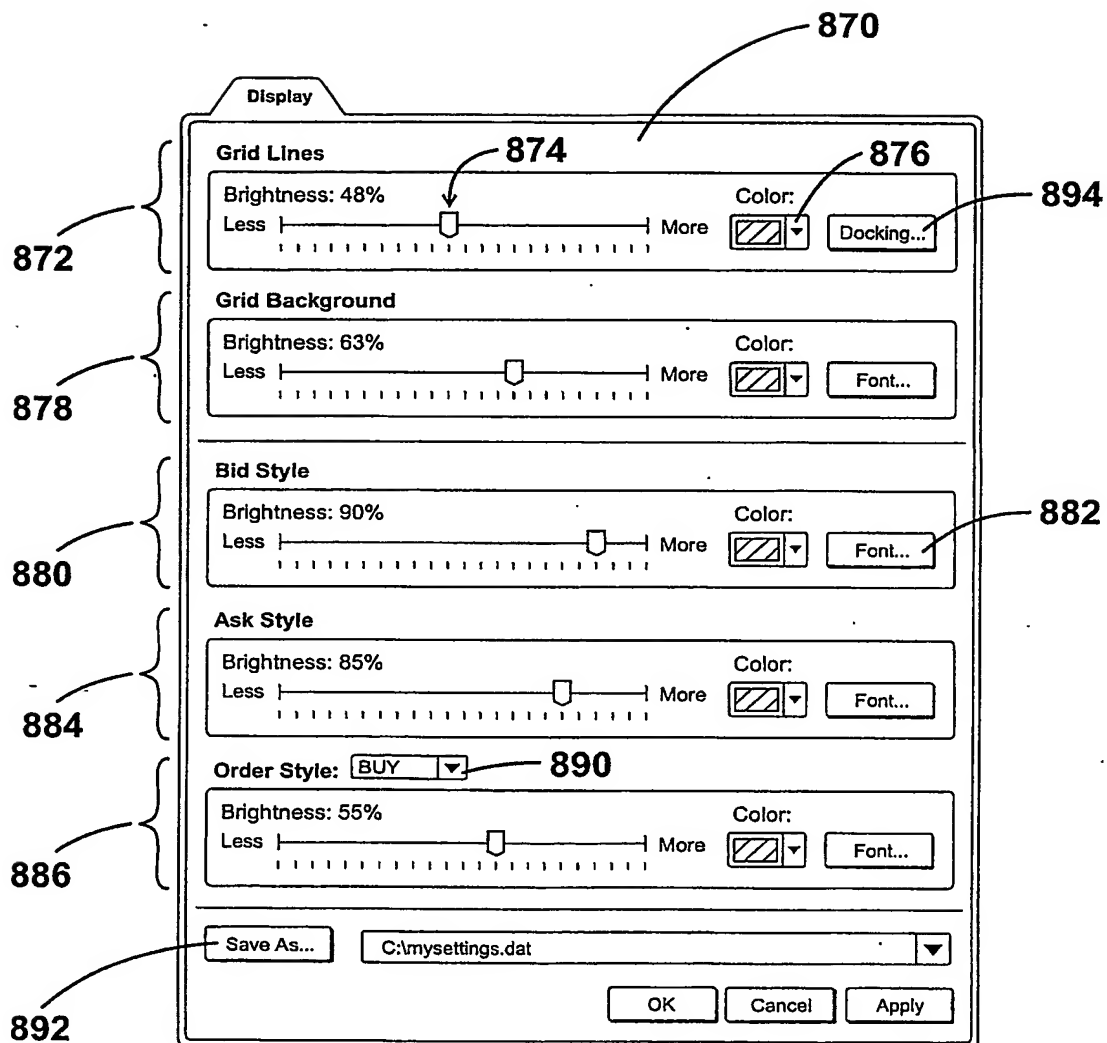


Fig. 37

32/85

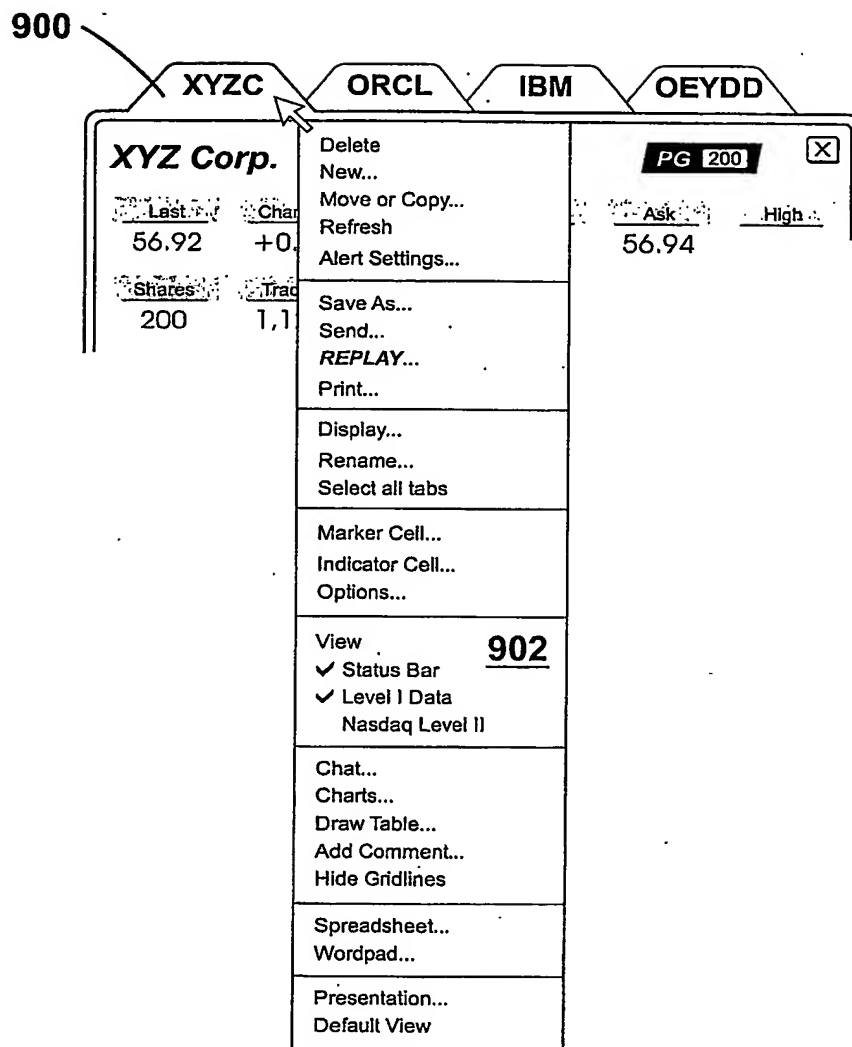


Fig. 38




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**Alert Settings**

**Alert type:**

☒ Tab Alert  
☐ Flashing Tab  
☐ Pop-up Alert

Tab Color: 

**Display Alerts when:**


☒ Last Trade is within \$  of Order  
☒ Last Trade  \$   
☒  exceeds   
☒ An Order has been Filled

**Cancel Tab Alert when:**

☒ User visits Tab page  
☒ After

**Filled Orders:**

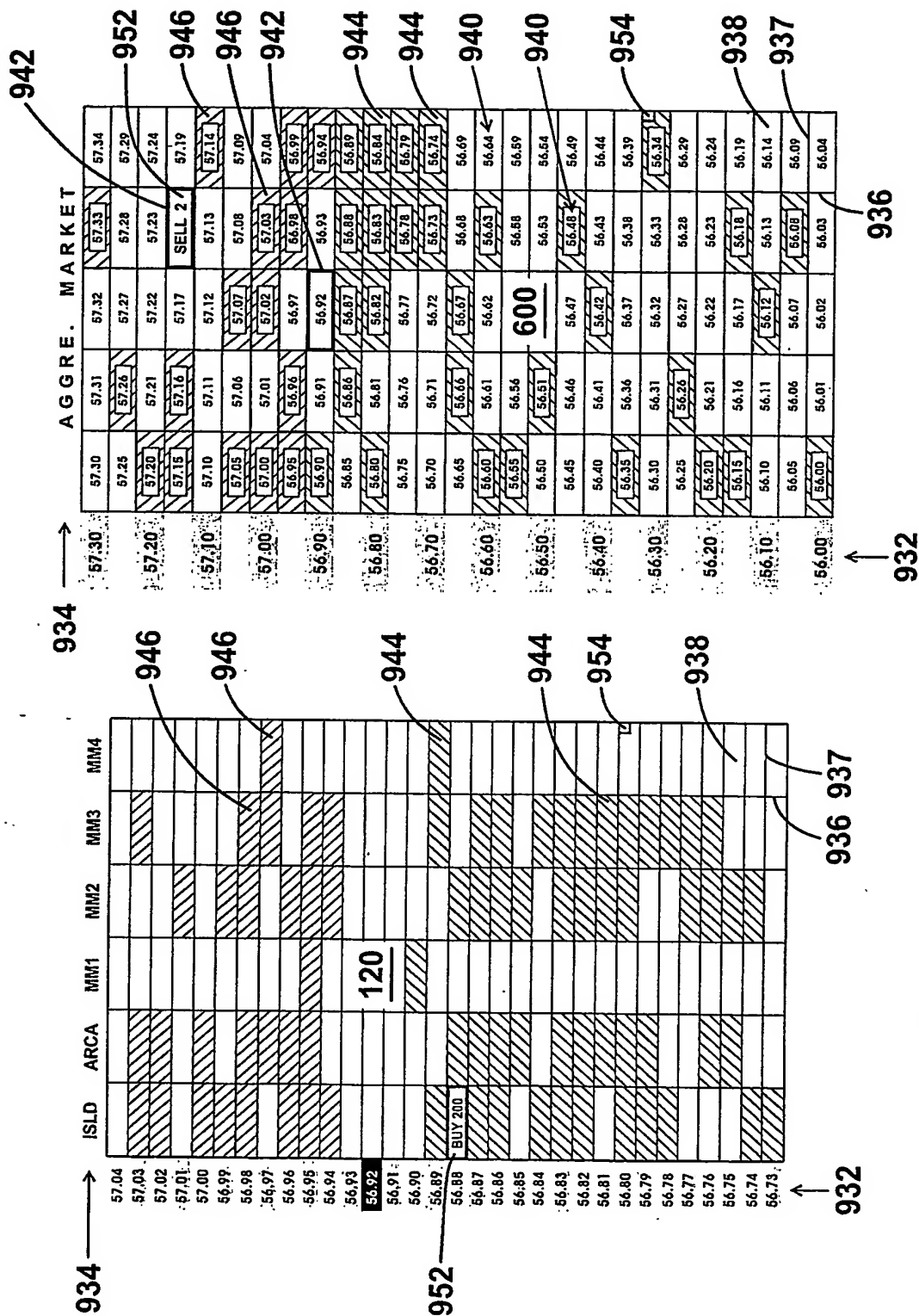
Highlight Cell Border after an Order has been Filled

☒ Duration:  Border Color: 

OK Cancel Apply

Figure 39 is a screenshot of an "Alert Settings" dialog box. The dialog box is titled "Alert Settings" and has a standard window control bar (minimize, maximize, close). The settings are organized into several sections. The "Alert type:" section has three options: "Tab Alert" (checked), "Flashing Tab", and "Pop-up Alert". To the right of these options is a "Tab Color:" label followed by a color selection icon. The "Display Alerts when:" section has four checked options: "Last Trade is within \$ 0.40 of Order", "Last Trade AT \$ 58.95", "VOLUME exceeds 1,600,000", and "An Order has been Filled". The "Cancel Tab Alert when:" section has two checked options: "User visits Tab page" and "After 5 MIN". The "Filled Orders:" section has a label "Highlight Cell Border after an Order has been Filled" and a checked option "Duration: 5 MIN Border Color:" followed by a color selection icon. At the bottom of the dialog box are three buttons: "OK", "Cancel", and "Apply". Various reference numerals are placed around the dialog box to identify specific elements: 910 points to the title bar, 912 points to the "Alert type:" label, 914 points to the "Tab Alert" checkbox, 916 points to the "Flashing Tab" checkbox, 918 points to the "Tab Color:" label, 920 points to the "Display Alerts when:" section, 922 points to the "Cancel Tab Alert when:" section, 924 points to the "Filled Orders:" section, and 926 points to the "OK" button.

Fig. 39



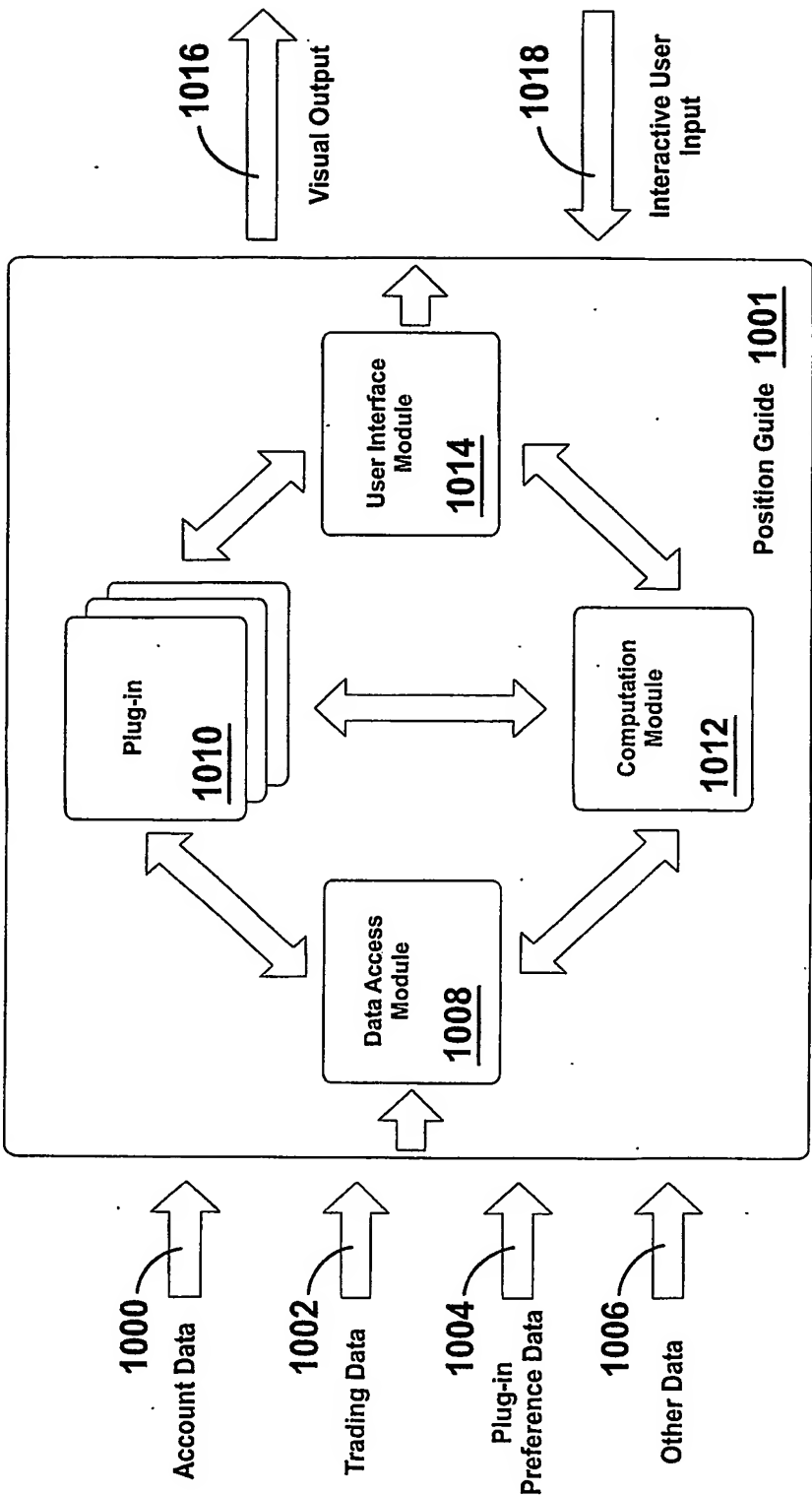


Fig. 41

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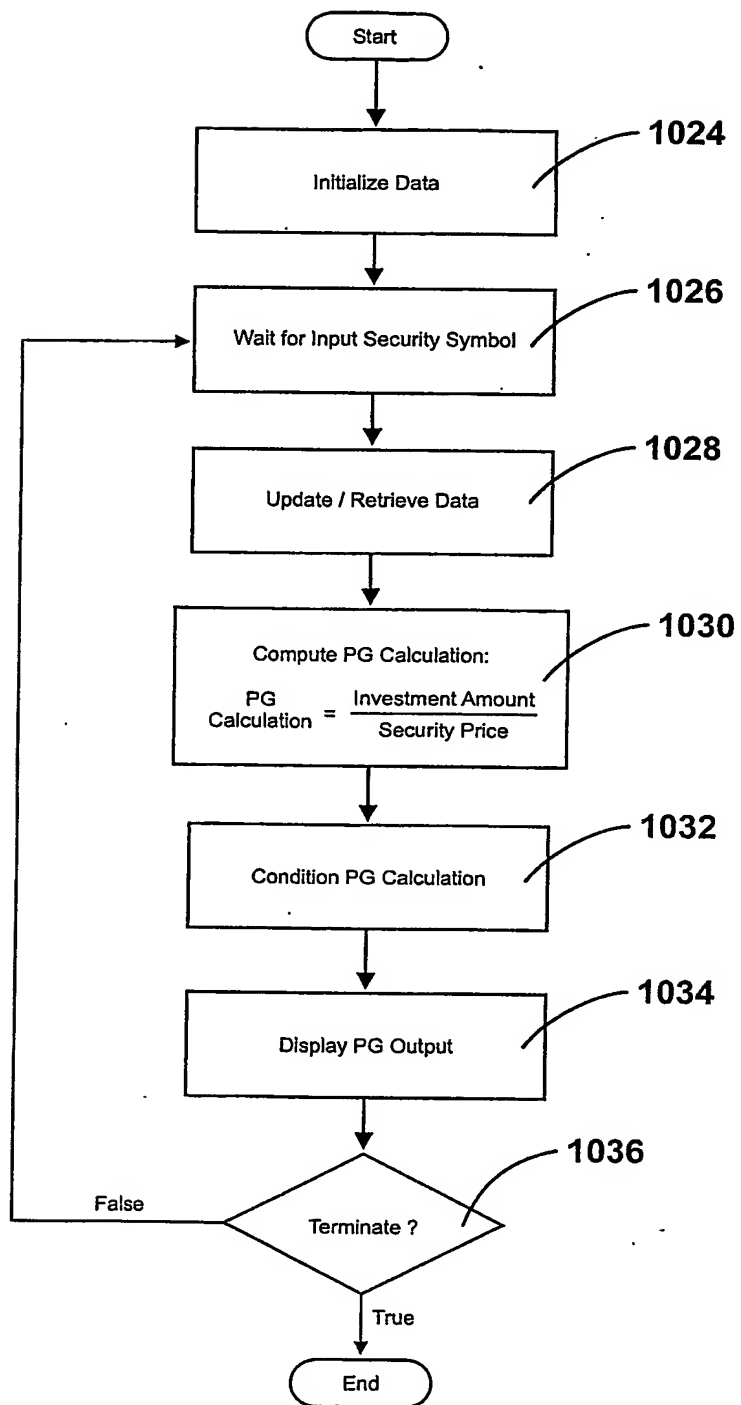


Fig. 42

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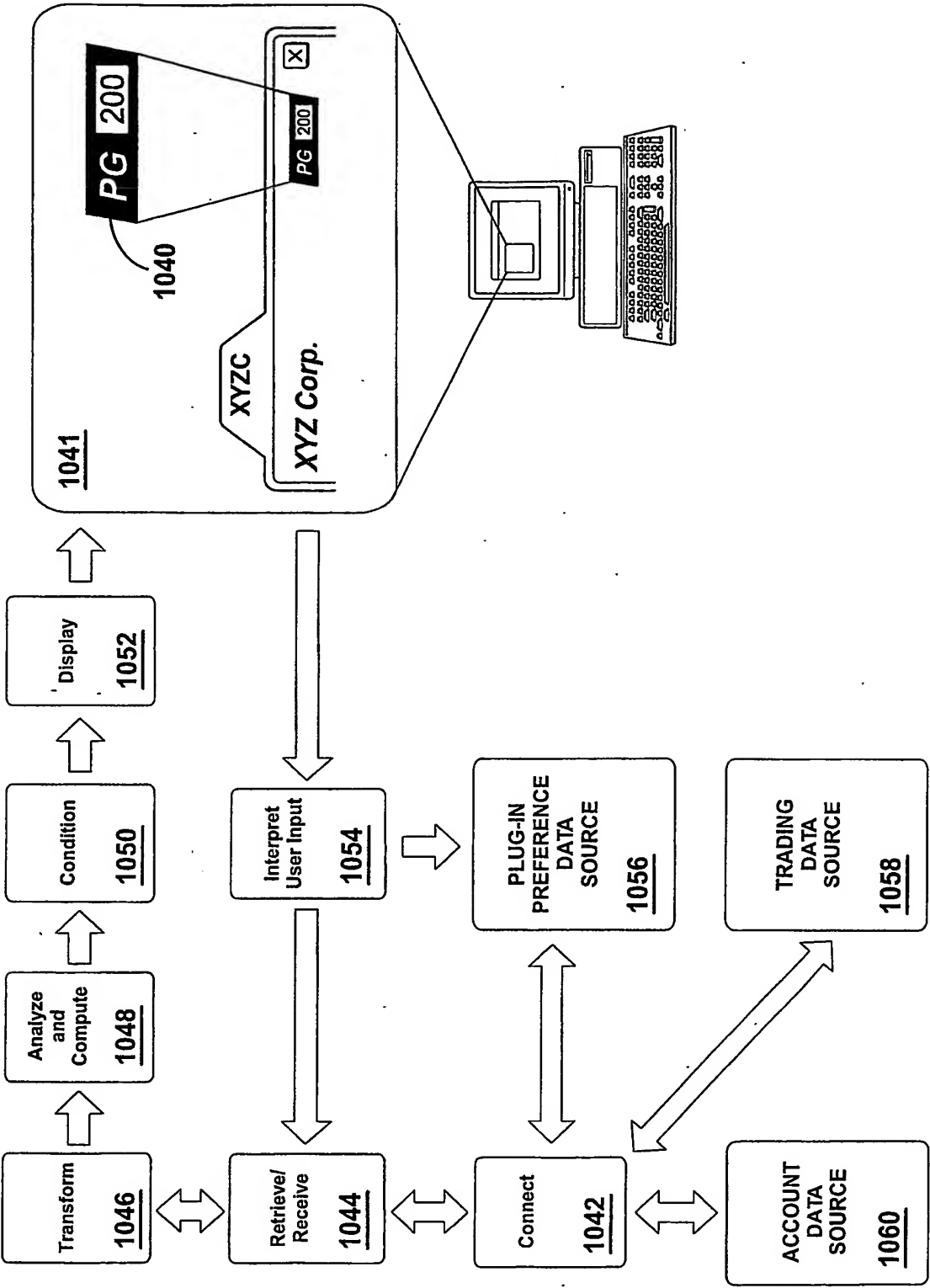


Fig. 43

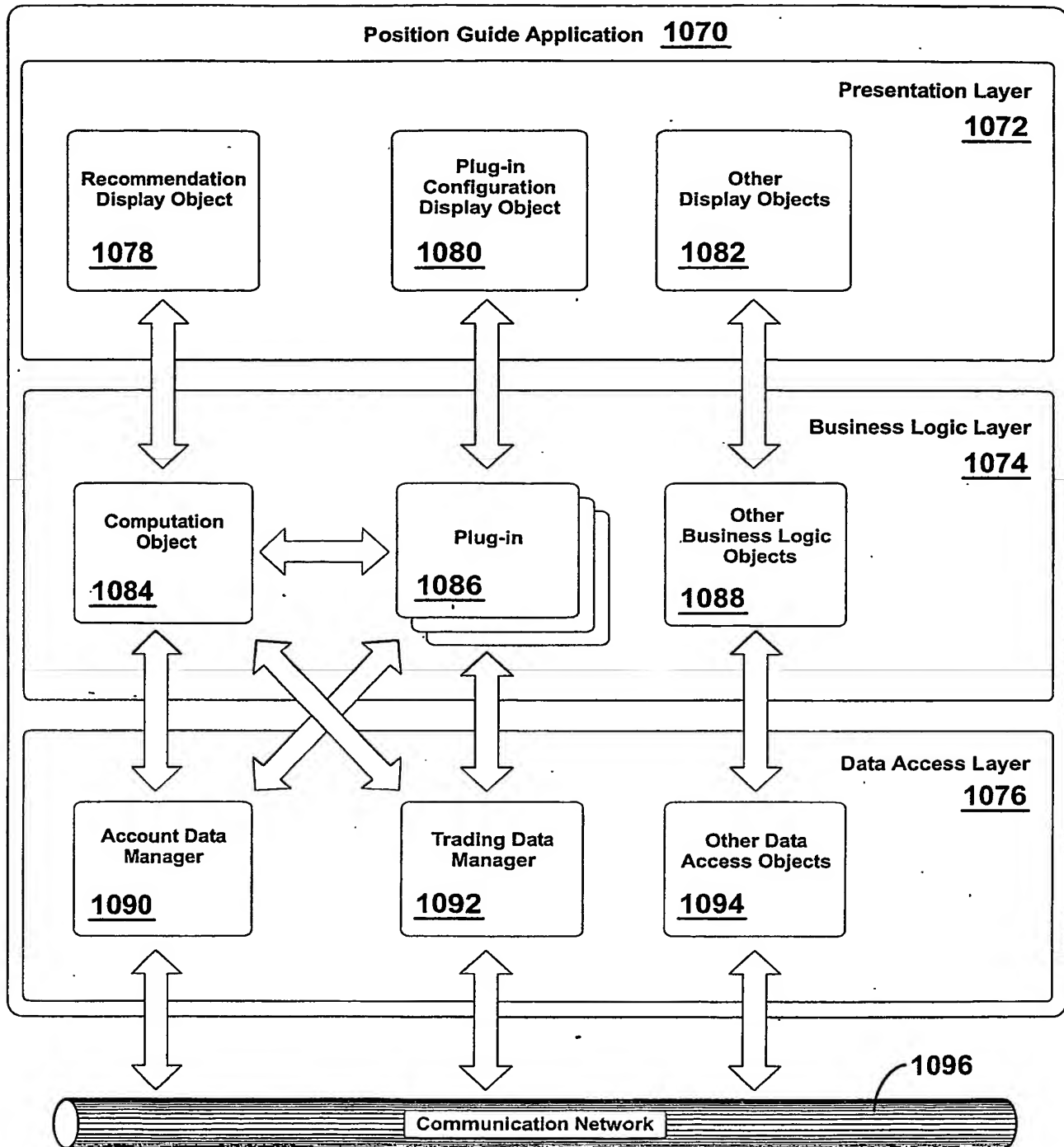


Fig. 44

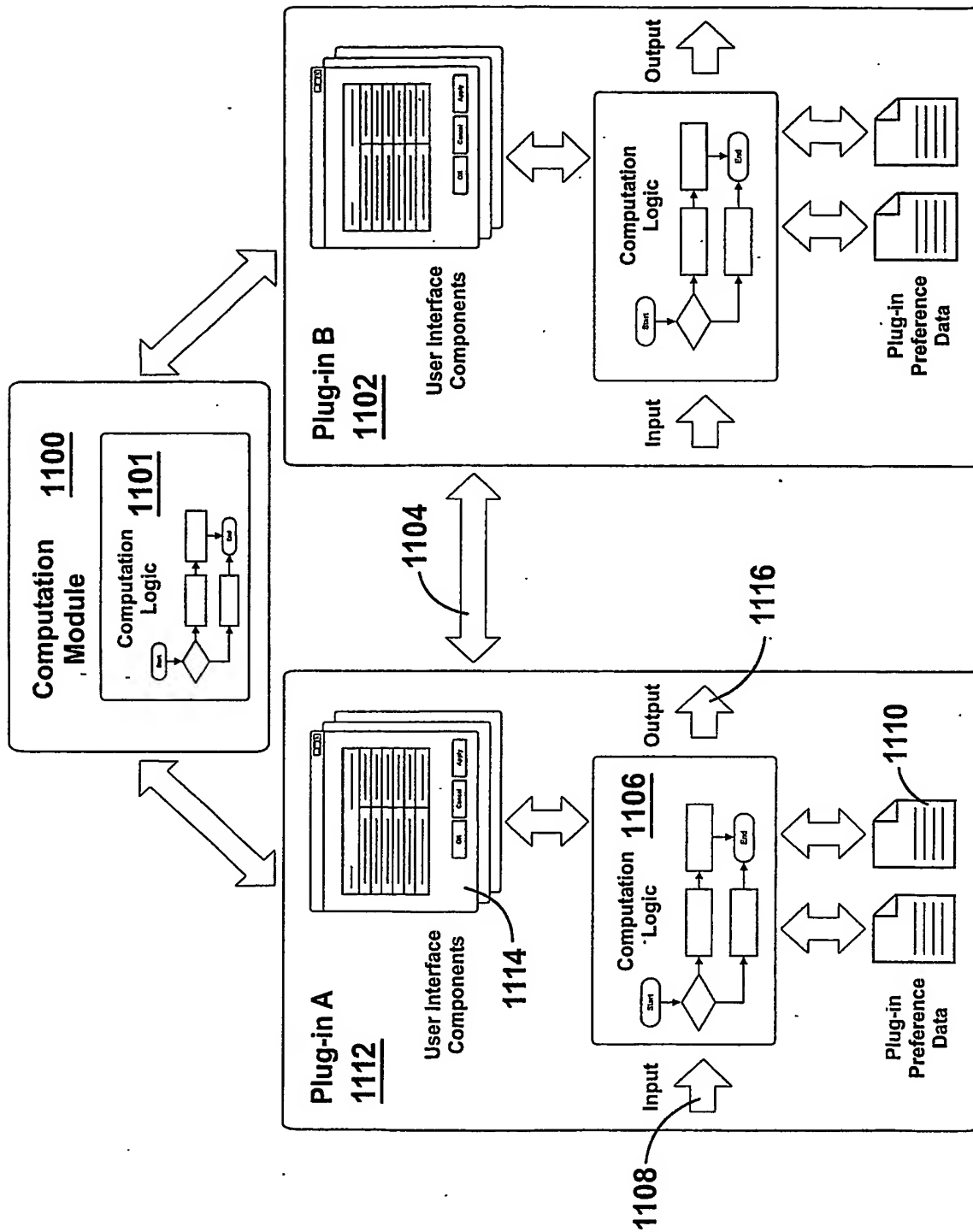


Fig. 45

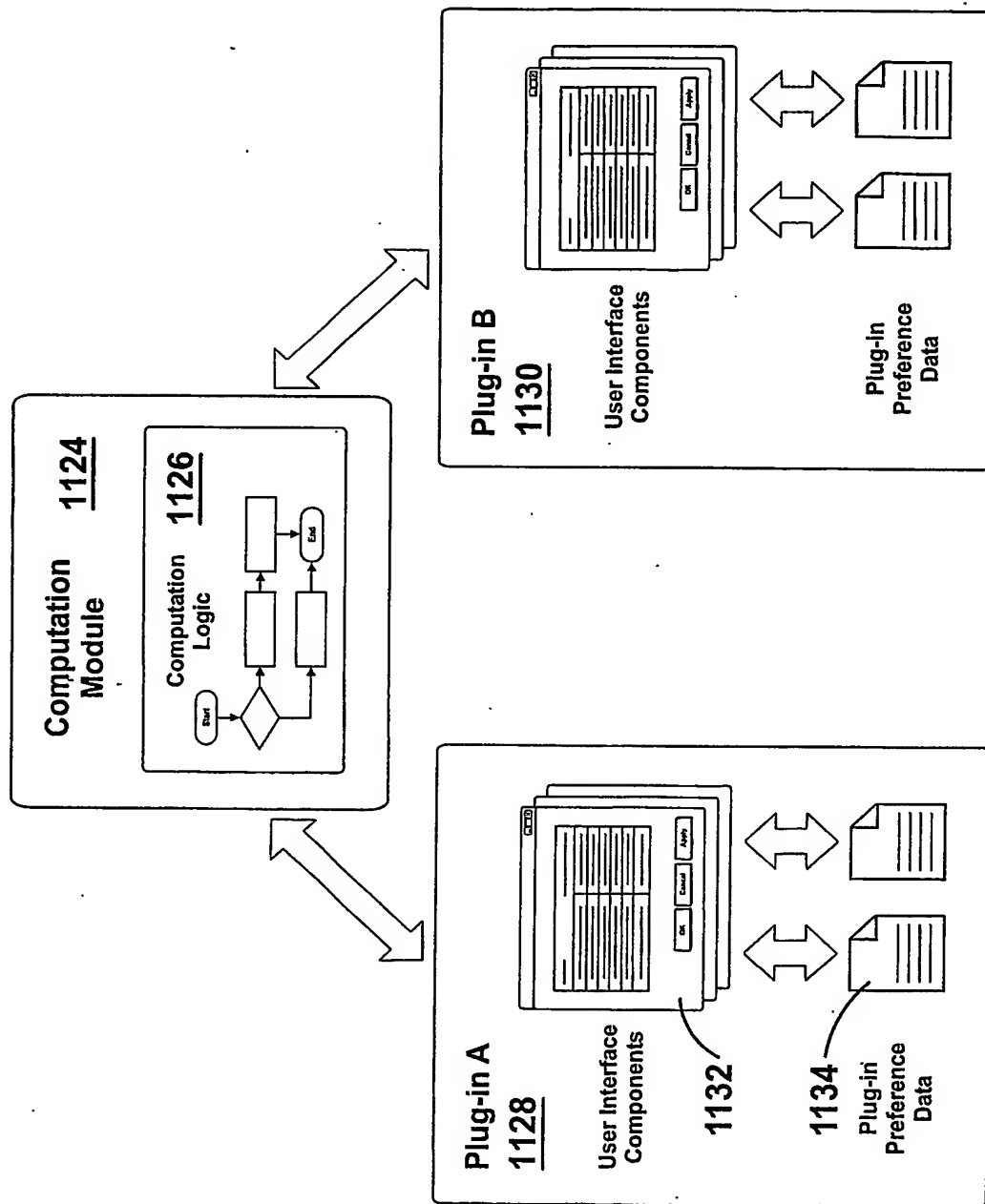


Fig. 46



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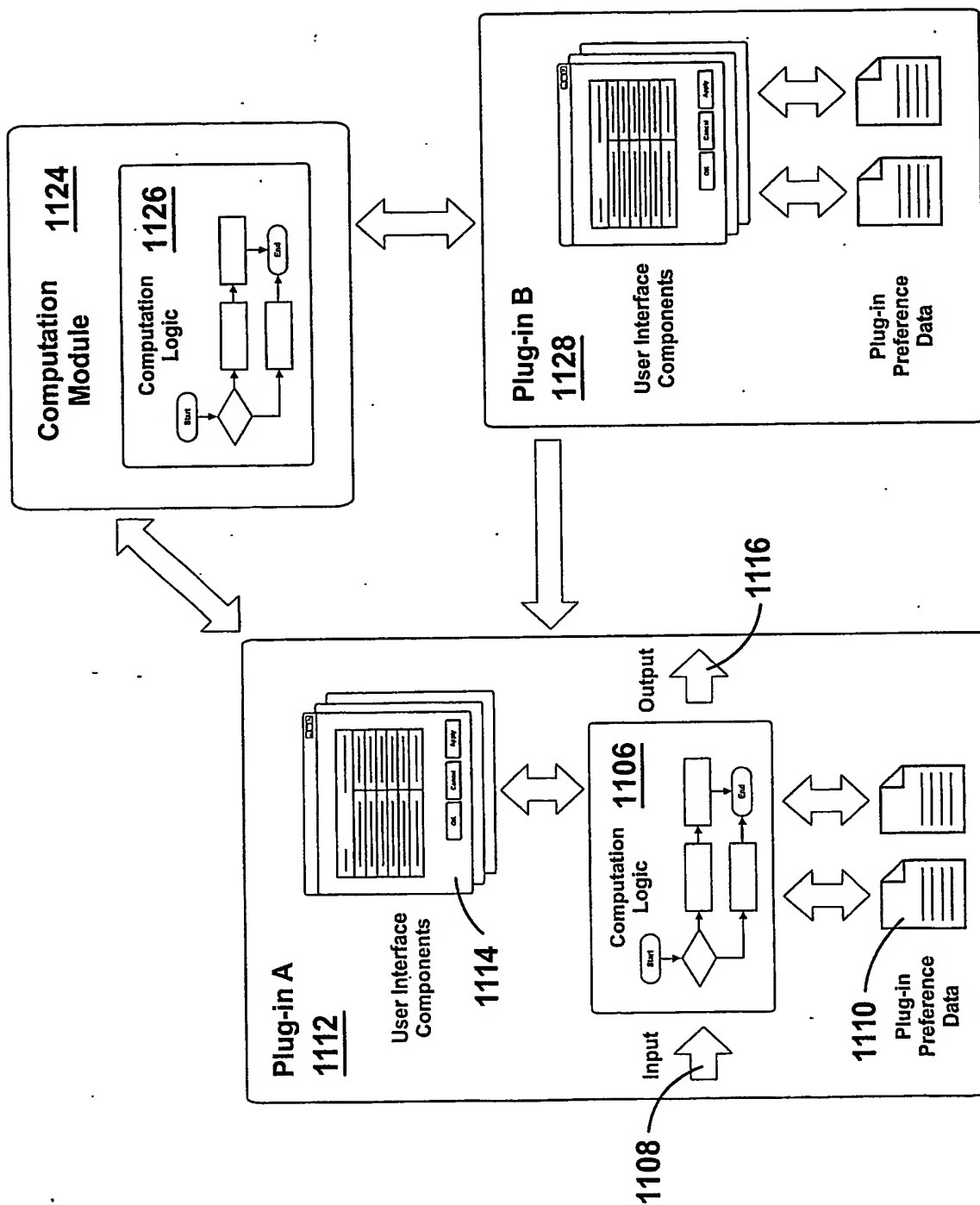


Fig. 47

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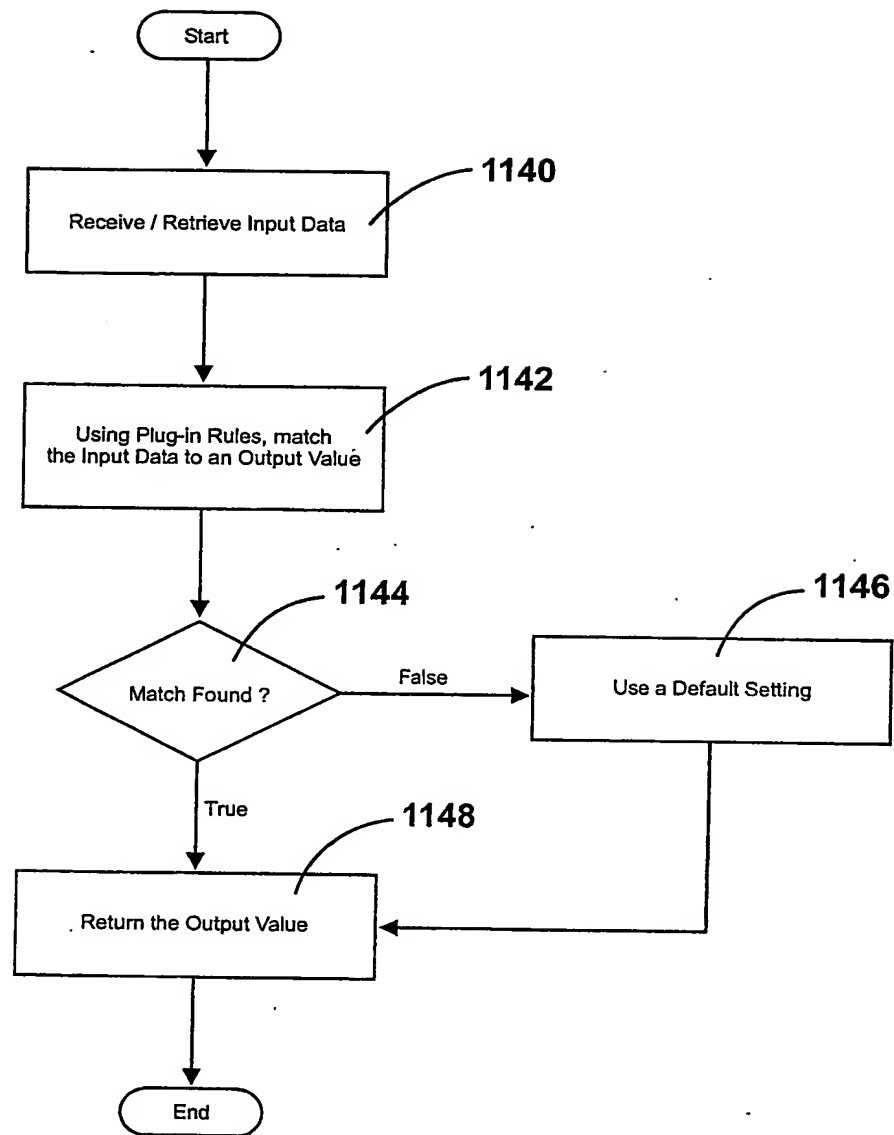


Fig. 48

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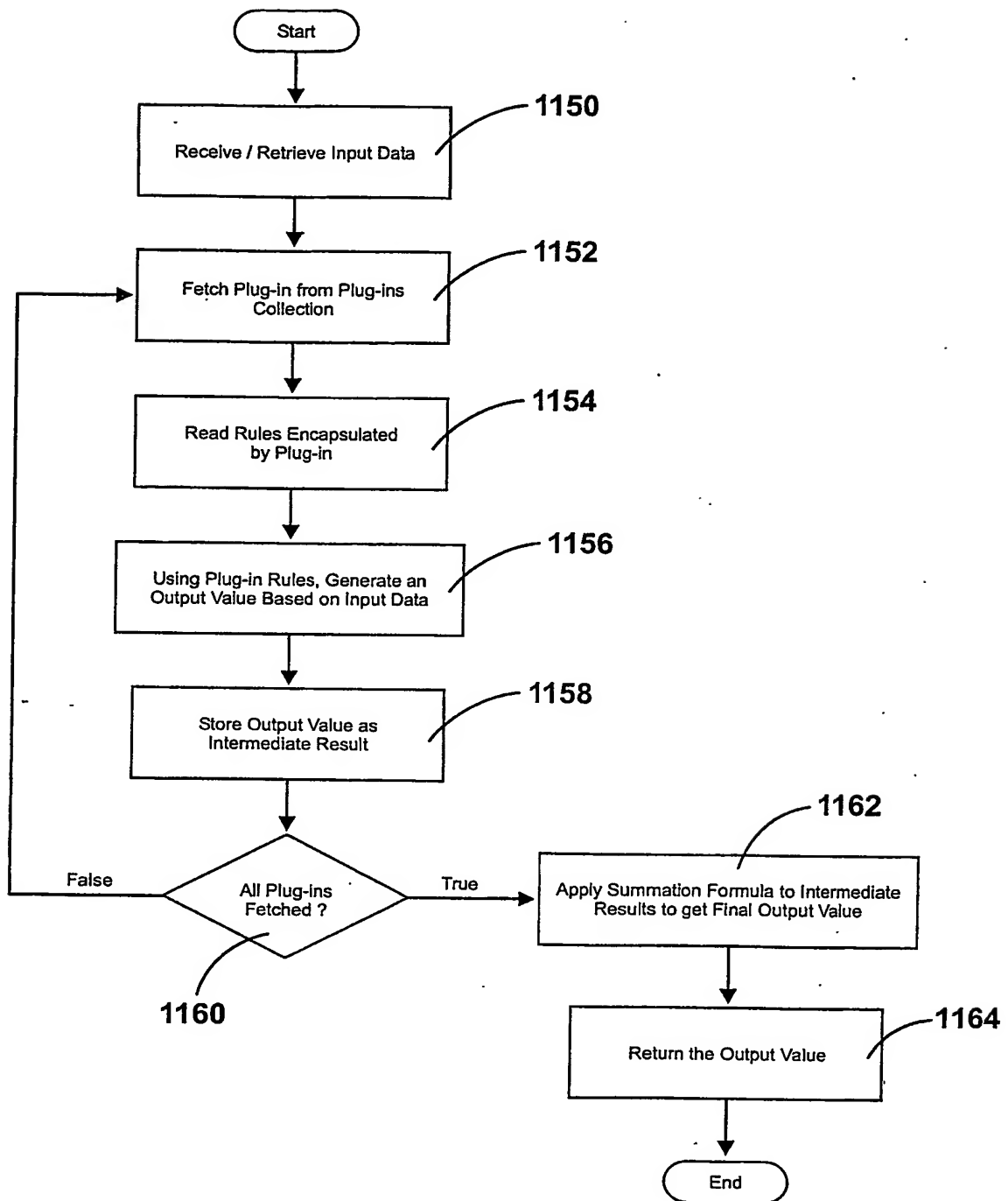


Fig. 49

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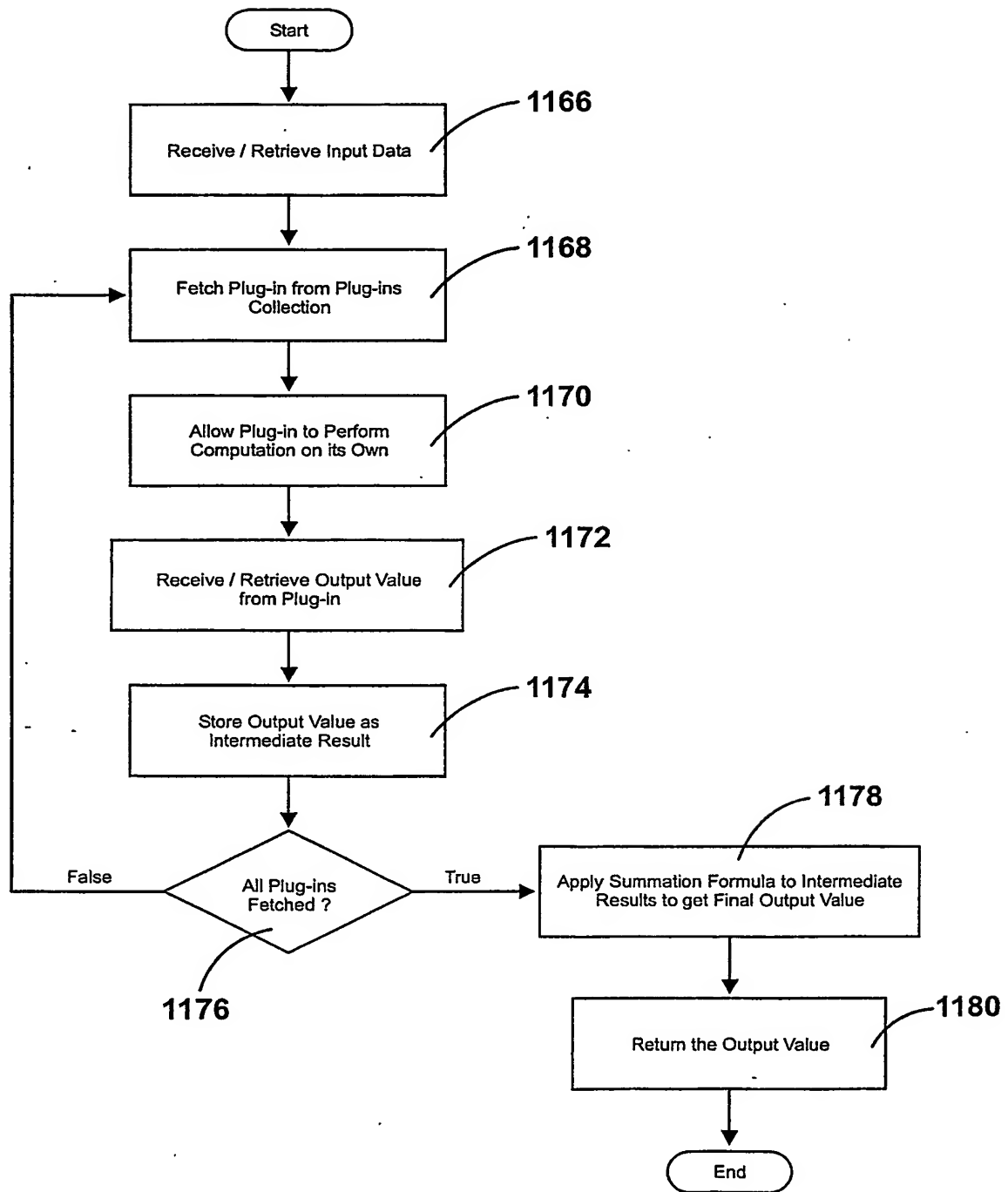


Fig. 50

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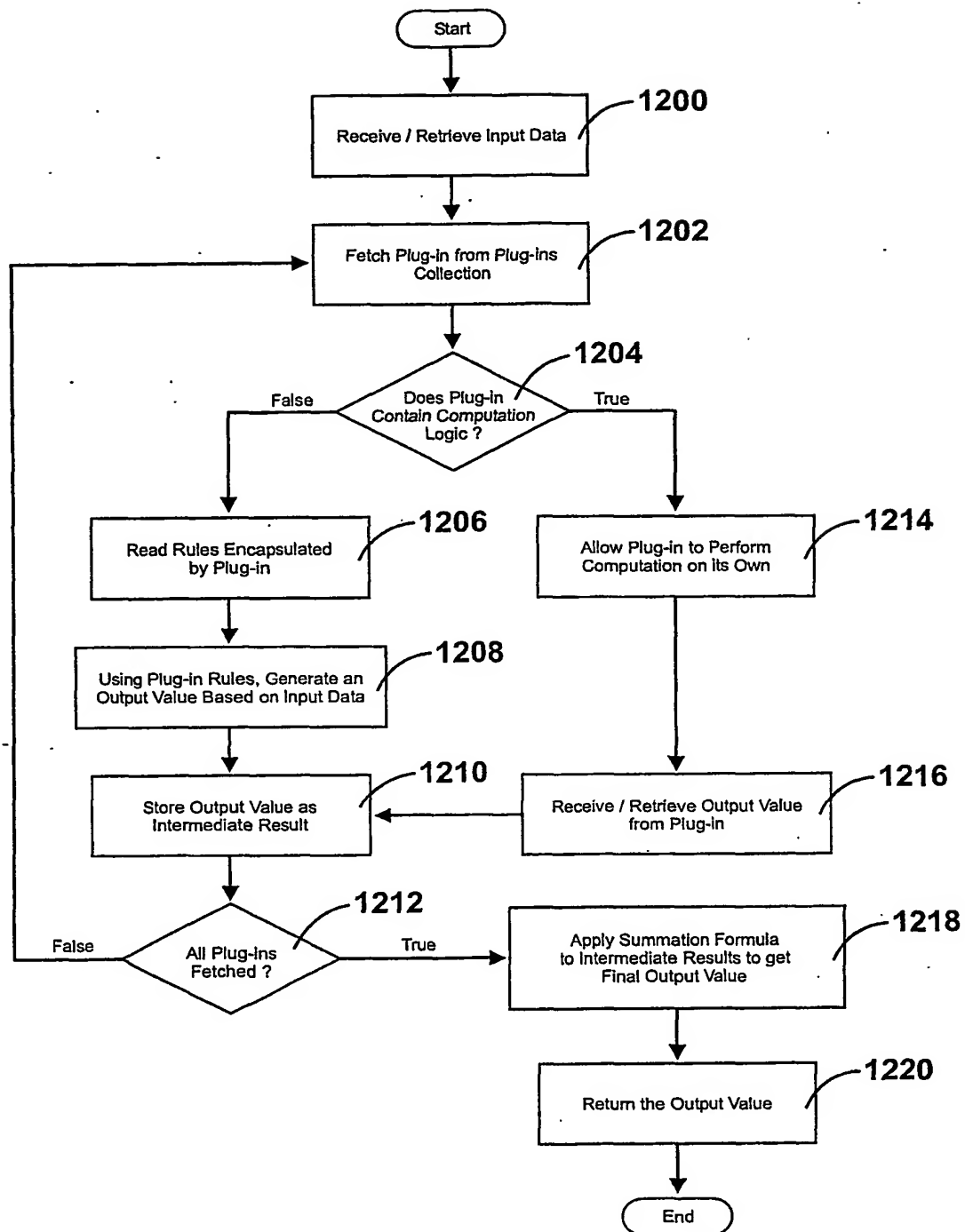


Fig. 51

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**Position Guide: Basic Output Settings**

1430 → Buy 1431 Sell 1432 Short 1434 Portfolio

Security Symbol: MSFT 1400 Go PG 200 1422

1402 → ☐ Invest 5 % of Portfolio Value

1404 → ☒ Invest 10 % of Buying Power 1424

1406 → AND NO MORE THAN

1408 → \$ 24,000 In each Equity

1410 → \$ 10,000 In each Option

1412 → \$ 35,000 In each Bond

1414 → \$ 35,000 In each Fund

Round PG Calculation : DOWN 1426 100 1428 Shares

1419 → PG Price Denominator: LAST PRICE

1418 → Maximum Position: 2,100 Shares

1420 → Exempt Symbols OK Cancel Apply 1416

Fig. 52

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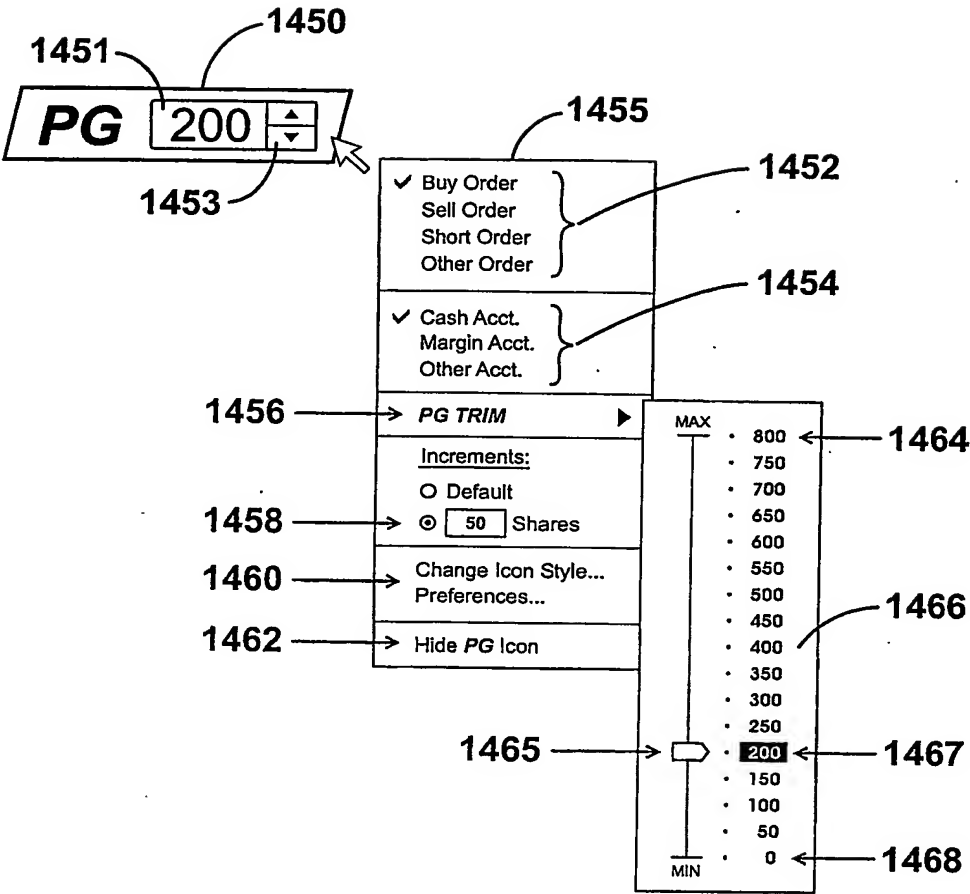


Fig. 53

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**Equity Order Entry Form**

<b>1. Account</b> Choose Account... ▾	<b>6. Price Condition</b> <input checked="" type="radio"/> Market Order <input type="radio"/> Limit Price <input type="text"/>
<b>2. Action</b> <input checked="" type="radio"/> Buy <input type="radio"/> Sell <input type="radio"/> Sell Short	<b>7. Special Terms</b> <input checked="" type="radio"/> None <input type="radio"/> All or None <input type="radio"/> Minimum Shares <input type="text"/>
<b>3. Symbol</b> MSFT	<b>8. Exchange</b> <input checked="" type="radio"/> CAN <input type="radio"/> US
<b>4. Good Through</b> Today Only ▾	<b>9. Settlement Funds</b> <input checked="" type="radio"/> CDN <input type="radio"/> USD
<b>5. Investment Amount</b>	
<input type="radio"/> Shares: <input type="text" value="200"/>	<b>1482</b>
<input checked="" type="radio"/> Dollars: <input type="text" value="12,000"/>	<b>1484</b>
<input type="radio"/> Percent: <input type="text" value="10"/>	<b>1486</b>
Ref: <input type="text" value="Buying Power"/> ▾	<b>1488</b>

**PG 200**

**1480** points to the "Good Through" field.

**1489** points to the "PG 200" field.

Fig. 54



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**Position Guide: Direct Output Settings**

1495 → Input Symbol:   **PG 200**

Position Guide Settings Priority: **1504**

1491 → ☒ Use Direct Output Settings  
☐ Use Combined Table Output Settings

Input Criteria	Buy Amount	Sell Amount	Short Amount	Portfolio Amount
✓ MSFT	14,000			
CSCO	12,000			
MSQBD	6,000			
✓ EQUITY	10,000			
INTC	8,000			
✓ OEX	12,000			
BOND	25,000			
OPTION	5,000			
✓ NASDAQ	10,000			
NYSE	8,000			

1514 → X ✓ = 14,000

1508 → Cell Display: ☒ Investment Amount ☐ PG Output

1516 → Multiple Amounts: ☒ Position ☐ Average ☐ Formula

1510 → PG Price Denominator:  Price / Share:

1519 → PG Calculation Quantity:  Shares **1511**

**Fig. 55**

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**Position Guide: Alternative Output Settings**

Security Symbol or Category: MSFT  1520

MSFT ORCL INTC

☒ Buy Order 1532 **PG 200** 1540

☒ NOT MORE THAN 24,000 USD AND  
☐ NOT MORE THAN Shares per Trade AND  
☒ NOT MORE THAN 10 % of BUYING POWER Value

☒ Sell Order 1534 **PG 500** 1542

☐ NOT MORE THAN USD AND  
☒ EXACTLY 500 Shares per Trade AND  
☐ NOT MORE THAN % of SECURITY Value

☐ Short Order 1536 **PG 100** 1544

☐ NOT MORE THAN USD AND  
☐ NOT LESS THAN Shares per Trade AND  
☐ NOT MORE THAN % of CASH Value

☒ Portfolio Amount 1538

☒ NOT MORE THAN 100,000 USD AND  
☒ NOT MORE THAN 2,000 Shares overall AND  
☒ NOT MORE THAN 20 % of PORTFOLIO Value

1546

Fig. 56

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**Position Guide Portfolio Settings: Overall Assets & Mutual Funds**

Portfolio, Mutual Funds   Equities   Bonds   Options

**1550**   **1552**   **1556**   **1558**   **1560**   **1562**   **1564**

Portfolio Assets	Portfolio Amount (K)	Portfolio Quantity	Actual Amount (K)	Actual Quantity	1 Week Change (%)
Cash					
Buying Power					
All Equities					
All Bonds					
All Options					
All Mutual Funds					

**1554**   **1556**   **1558**   **1560**   **1562**   **1564**

Mutual Funds	Portfolio Amount (K)	Portfolio Quantity	Actual Amount (K)	Actual Quantity	1 Week Change (%)
All Balanced Funds					
All Equity Funds					
All Bond Funds					
All International Funds <b>1566</b>	<b>1567</b>	<b>1568</b>	<b>1569</b>	<b>1570</b>	
All Domestic Funds					
All Emerging Funds					
All Technology Funds <b>1571</b>	<b>1572</b>	<b>1573</b>	<b>1574</b>	<b>1575</b>	

OK   Cancel   Apply

Fig. 57

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**Position Guide Portfolio Settings: Equities**

Portfolio, Mutual Funds   Equities   Bonds   Options

**1580**   **1582**   **1556**   **1558**   **1560**   **1562**   **1564**

Equities	Portfolio Amount (K)	Portfolio Quantity	Actual Amount (K)	Actual Quantity	1 Week Change (%)
Any Equity Security					
All Large Caps					
All Mid Caps					
All Small Caps					
Security: MSFT					
Security: CSCO					
Index Components: DJI					
Index Components: OEX					
Sector: Technology					
Sector: Biotech, Drug					
Sector: Utilities					
Sector: Software					
Sector: Hardware					
Sector: Networking					
Sector: Telecom					
Nasdaq					
NYSE					

OK   Cancel   Apply

Fig. 58

Position Guide Portfolio Settings: Bonds

Portfolio, Mutual Funds

Equities

Bonds

Options

1586

1588

1556

1558

1560

1562

1564

Bonds	Portfolio Amount (K)	Portfolio Quantity	Actual Amount (K)	Actual Quantity	1 Week Change (%)
Any Bond Security					
All International					
All Domestic (USA)					
All Government					
All T-Bills					
All Federal					
All Municipal					
All State					
All Corporate					
Rating: All AAA					
Rating: All AA					
Rating: All A, Lower					
Rating: All High Yield					

OK

Cancel

Apply

**Fig. 59 .**

54/85

**Position Guide Portfolio Settings: Options**

Portfolio, Mutual Funds   Equities   Bonds   Options

**1592**   **1590**

Options	Portfolio Amount (K)	Portfolio Quantity	Actual Amount (K)	Actual Quantity	1 Week Change (%)
Any Option Security					
All CBOE					
All Equity Options					
All AMEX					
Any Option Chain					
Any Option Series					
All Puts					
All Calls					
Any Leap Security					
All Leaps					
Security: MSQBK					
Any Index Option					
All Index Options					
Any Equity Option					
All Long Positions					
All Short Positions					
All Warrants					

OK   Cancel   Apply

Fig. 60

55/85

**Position Guide: Profile Settings**

**Client Profile** **Account Profile**

Account: XYZ123ABC Data 1630 1632

Client Name	
Address 1	
Address 2	
State	
Country	
Postal Code	
E-Mail Address	
Telephone Number (Fax)	

**Portfolio Information** Data 1634 Table Ref. 1637

Portfolio Value, PV		
Cash Balance, CB		
Buying Power, BP		
Equity Value, EV		
Bond Value, BV		
Option Value, OV		

**User Details** Data 1636 Table Ref.

Investment Experience	4 Years	<u>34</u>
Trading Style	Active Trader	<u>11</u>
Risk Level		
Risk Tolerance	Aggressive	<u>16</u>
Investment Horizon	Short	<u>36</u>
Stress Level	Medium	<u>55</u>
Enable Portfolio Amounts	YES	
Market Sentiment	A; Bullish	<u>50</u>
Mood		
Bullish, Bearish Sentiment		
Enable Third Party Access	YES	
Birthday (Age)	48 Years	<u>33</u>
Networth	650K + PV	<u>31</u>
Personal Annual Income	90K	<u>32</u>
Household Income		
Monthly Cash Requirement		
Monthly Disposable Income		

**Sector Knowledge** Data 1640 Table Ref.

Technology	Very High	<u>30</u>
Transportation	High	<u>30</u>
Utilities	Low	<u>30</u>
Financial Services	Moderate	<u>30</u>

OK Cancel Apply

Fig. 61

56/85

1700

Position Guide: Detailed Portfolio Summary				
Asset Class	Security	Market Value	Percent of Asset Class	Percent of Portfolio
Cash Equivalents <b><u>1701</u></b>		\$ 20,000 1718	100% <b><u>1714</u></b>	20% <b><u>1710</u></b>
Stocks / Equities <b><u>1702</u></b>	Equity A	\$ 10,000	25%	1706
	Equity B	\$ 10,000	25%	
	Equity C	\$ 10,000	25%	
	Equity D	\$ 10,000	25%	
	Subtotal	\$ 40,000 1719	100% 1715	40% <b><u>1711</u></b>
Fixed Income <b><u>1703</u></b>	Bond A	\$ 7,500	25%	1707
	Bond B	\$ 7,500	25%	
	Bond C	\$ 7,500	25%	
	Bond D	\$ 7,500	25%	
	Subtotal	\$ 30,000 1720	100% 1716	30% <b><u>1712</u></b>
Derivatives <b><u>1704</u></b>	Option A	\$ 5,000	50%	1708
	Option B	\$ 5,000	50%	
	Subtotal	\$ 10,000 1721	100% 1717	10% <b><u>1713</u></b>
Total Portfolio		\$ 100,000 1705		100% <b><u>1709</u></b>

OK

Fig. 62



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## 1805 Security Price Tables

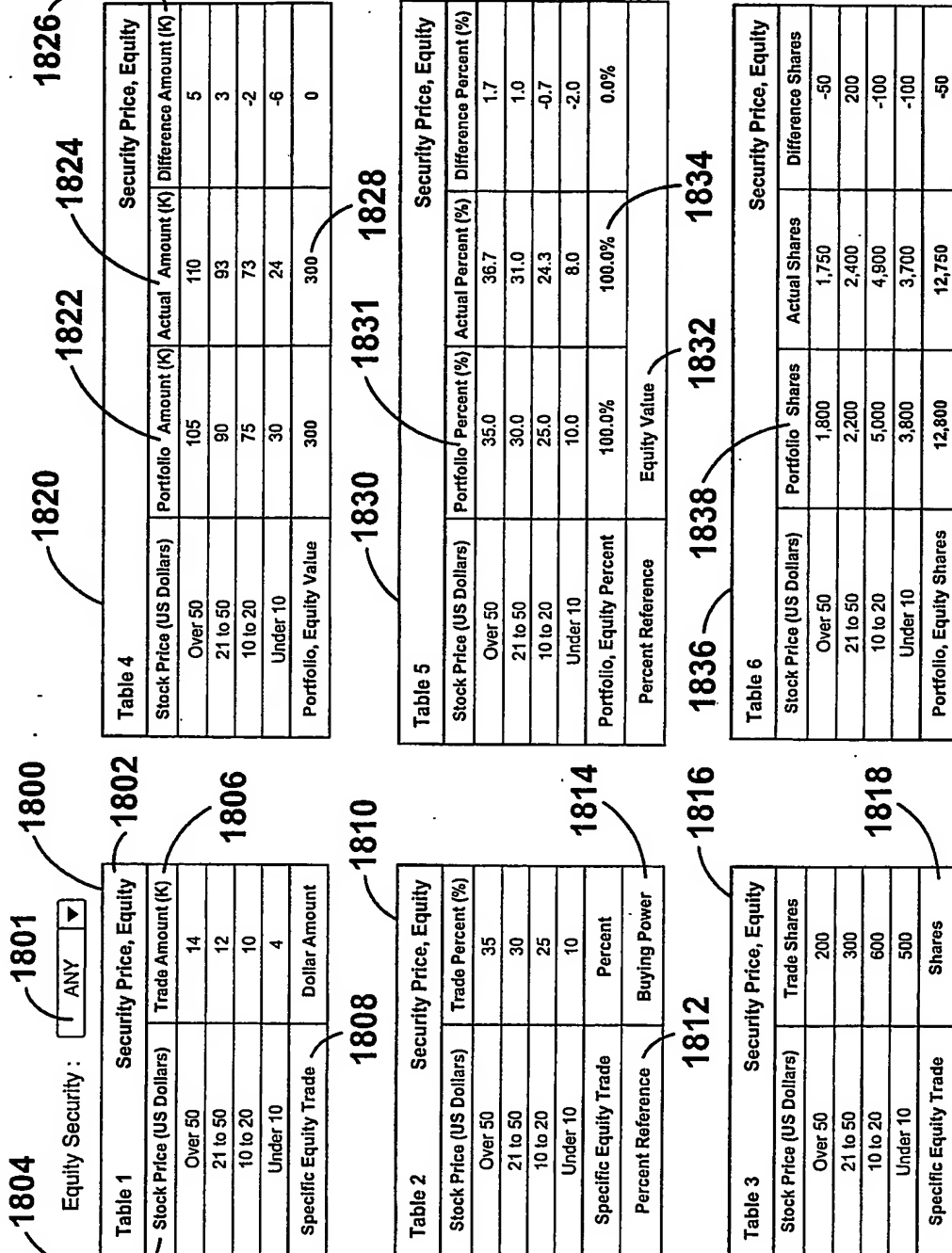


Fig. 63

58/85

**1845 Account and Activity Tables**

1840

Table 10 Trading Activity	
Number of Trades	Amount (K)
Over 50	10
26 to 50	12
0 to 25	14
Time Period	1 Week

1844

Table 11 Trading Style	
Classification	Amount (K)
Day Trader	8
Active Trader	10
Moderate Trader	12
Casual Investor	8

1842

1846

Table 12 Cash Balance	
Cash Balance	Amount (K)
Over 100K	15
51K to 100K	12
21K to 50K	8
10K to 20K	5
Under 10K	3

1841

1848

Table 13 Buying Power	
Buying Power	Amount (K)
Over 100K	15
51K to 100K	9
10K to 50K	6
Under 10K	3

1850

Table 14 Portfolio Value	
Portfolio Value	Amount (K)
Over 500K	15
251K to 500K	12
101K to 250K	10
51K to 100K	8
Under 50K	6

1852

Table 15 Time Interval Since Last Purchase	
Time Interval	Amount (K)
More than 1 Month	15
1 Week to 1 Month	12
1 to 7 Days	10
Less than 1 Day	8

1854

Table 16 Risk Tolerance	
Portfolio Value	Amount (K)
Aggressive	12
Moderate	10
Conservative	8

1856

Table 17 Order Type	
Order Type	Amount (K)
Buy	12
Sell	20
Short	10
Other	0

Fig. 64

59/85

**1865 Security Classification Tables**

1860

Table 20 Asset Class	
Asset Class	Amount (K)
Stocks	15
Bonds	30
Options	10

1862

Table 21 Security	
Security Symbol	Amount (K)
MSFT	10
CSCO	8
ORCL	4
Other	8

1866

Table 22 Industry Sector	
Sector Category	Amount (K)
Technology	10
Utilities	8
Biotech	8
Drug	12
Other	6

1864

1868

Table 23 Technology Sector	
Sub-sector	Amount (K)
Software	10
Hardware	8
Semiconductors	12
Peripherals	10
Other	0

1867

1870

Table 24 Type of Bond A	
Bond Type	Amount (K)
T-Bill, Federal	50
State	25
Municipal	25
Corporate	25

1872

Table 25 Type of Bond B	
Bond Type	Amount (K)
Corp. Domestic	30
Corp. International	20
Gov't. Domestic	50
Gov't. International	30
Other	0

1874

Table 26 Option Type	
Option Type	Amount (K)
Index	12
Equity	10
Other	0

1876

Table 27 Security Quality	
Category	Amount (K)
Blue Chip	25
Small Cap, Mid Cap	10
Speculative, Penny Stocks	5
Derivatives, Warrants	5

Fig. 65

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**1885 User Profile Tables**

1880

Table 30 Sector Knowledge	
Knowledge Level	Amount (K)
Very High	12
High	10
Moderate	8
Low	6
None	4

1882

Table 31 Networth	
Networth (US Dollars)	Amount (K)
Over 1 Million	15
251K to 1Million	12
101K to 250K	8
0 to 100K	5
Under 0	3

1884

Table 32 Annual Income	
Income (US Dollars)	Amount (K)
Over 150K	15
101K to 150K	10
51K to 100K	8
0 to 50K	5

1886

1888

Table 33 Client, Age Group			
Age Category	Stock	Amount (K)	Bond Amount (K)
Above 65	10		30
51 to 65	20		30
36 to 50	15		25
25 to 35	10		20
Under 25	5		15

1890

1892

Table 34 Investment Experience	
Experience	Amount (K)
Over 5 yrs.	15
3 to 5 yrs.	12
1 to 2 yrs.	10
Under 1 yr.	8

1894

Table 35 Security Specific Knowledge	
Knowledge Level	Amount (K)
Expert	15
Very Good	12
Average	10
Below Average	8
None	5

1896

Table 36 Investment Horizon A	
Category	Amount (K)
Long Term	50
Medium Term	30
Short Term	15
Day Trade	12

1898

Table 37 Investment Horizon B	
Time Period	Amount (K)
More than 6 Months	50
1 to 6 Months	30
1 Week to 1 Month	20
2 to 7 Days	15
Under 2 Days	12

Fig. 66

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**1905 Performance Related Tables**

1900

Table 40 Portfolio Return A	
Portfolio Gain or Loss (USD)	Amount (K)
Over 10K	12
0 to 10K	10
-10K to 0	6
Under -10K	3
Time Period	1 Month

1904

Table 41 Portfolio Return B	
Portfolio Gain or Loss (%)	Amount (K)
Over 10%	12
0 to 10%	10
-10% to 0	6
Under -10%	3
Time Period	1 Month

1908

Table 42 Price Volatility	
Distribution	Amount (K)
4th Quartile	8
3rd Quartile	10
2nd Quartile	12
1st Quartile	15

1902

1910

1906

Table 43 Price Change	
Price Change (+)	Amount (K)
Above 2.00	12
1.01 to 2.00	15
0 to 1.00	12
Under 0	10
Time Period	1 Hour

1912

1911

Table 44 MSFT, Average Return	
Gain or Loss (%)	Amount (K)
Over 10%	10
0 to 10%	8
-10 to 0%	5
Under -10%	3
Number of Trades	10 Trades
Security Symbol	MSFT

1913

1919

1914

1916

Table 45 MSFT, Price Change	
Change (US Dollars)	Amount (K)
Above +2.00	15
0 to +2.00	12
-2.00 to 0	10
Below -2.00	8
Time Period	1 Week
Security Symbol	MSFT

1915

1918

Table 46 MSFT, Current Holdings	
Average Profit or Loss per Share	Amount (K)
Above +2.00	8
0 to +2.00	10
-2.00 to 0	12
Below -2.00	15
Security Symbol	MSFT

1917

Fig. 67

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**1925 Market Sentiment Tables**

1920

Table 50 Sentiment A	
Category	Amount (K)
Very Bullish	12
Bullish	10
Neutral	8
Bearish	6
Very Bearish	4

1922

Table 51 Sentiment B	
Category	Amount (K)
Very Optimistic	12
Optimistic	10
Neutral	8
Pessimistic	6
Very Pessimistic	4

1924

Table 52 Sentiment C	
Category	Amount (K)
Elated	12
Happy	10
Neutral	8
Concern	6
Fear	4

1926

Table 53 Sentiment D	
Category	Amount (K)
Bullish	12
Bearish	10

1928

Table 54 Bullish Sentiment	
Bullish?	Amount (K)
True	12
False	10

1930

Table 55 User Stress Level	
Category	Amount (K)
Very High	6
High	8
Medium	10
Low	12
None	16

Fig. 68

63/85

**1935 Diversification Related Tables**

1934

Table 60 Market Cap Class	
Type	Amount (K)
Large Cap.	15
Medium Cap.	10
Small Cap.	8
Micro Cap.	4

1936

Table 61 Security's Market Cap	
Amount (In US Dollars)	Amount (K)
Over 100 Billion	15
51 Billion to 100 Billion	12
26 Billion to 50 Billion	10
6 Billion to 25 Billion	8
500 Million to 5 Billion	8
Under 500 Million	4

1938

Table 62 Stock Market, Exchange	
Market	Amount (K)
NYSE	15
Nasdaq	12
ECN	10
Others	8

1940

Table 63 International Security	
Location	Amount (K)
U. S.	20
Canada	10
Europe	5
Asia	5
Others	0

1942

Table 64 Options Market, Exchange	
Market	Amount (K)
CBOE	12
PSE	10
AMEX	10
Others	8

1944

Table 65 Number of Securities	
Overall Portfolio	Amount (K)
Above 10	15
6 to 10	12
3 to 5	10
1 to 2	8

1946

Table 66 Equity, Portfolio Weight	
Equity (% of Portfolio)	Amount (K)
Above 40%	8
26% to 40%	12
11% to 25%	12
0% to 10%	15

1948

Table 67 Mutual Fund	
Fund Type	Amount (K)
Stock	20
Bond	25
Balanced	22
Others	15

Fig. 69

64/85

**1951 Index Data Tables**

1950

Table 70 Market Volatility (VIX)	
Index Value	Amount (K)
Above 35	15
26 to 35	10
20 to 25	10
Under 20	8

1952

Table 71 US Long Bond (TYX)	
Yield	Amount (K)
Above 60	25
56 to 60	18
50 to 55	15
Below 50	12

1954

Table 72 SOX Index, Performance	
Change (Percent)	Amount (K)
Above 5%	15
0 to +5%	12
-5 to 0%	10
Under -5%	8
Time Period	1 Week

1955

1956

1958

1960

Table 73 DJI Index, Performance			
Change (Points)	Buy Amount (K)	Sell Amount (K)	Short Amount (K)
Above +500	15	8	8
0 to +500	12	10	10
-500 to 0	10	12	12
Under -500	8	15	15
Time Period	1 Week		

1962

1963

1964

Table 74 OEX Index	
Value	Amount (K)
Over 740	12
711 - 740	10
681 - 710	8
650 - 680	6
Under 650	3

1966

Table 75 Index Component	
Index	Amount (K)
DJI	12
OEX	10
SPX	8
RUT	6
Other	4

Fig. 70



65/85

**1971 Technical and Fundamental Data Tables**

1970

Table 80 50 Day Moving Average A	
Status	Amount (K)
Above	12
Below	8
Value 1	Last Price
Value 2	50 DMA

1972

Table 81 50 Day Moving Average B	
Last Price wrt DMA	Amount (K)
Over +5%	12
0 to +5%	10
-5% to 0	8
Below -5%	6

1973

1974

1975

Table 82 Length of Company Operations	
Length of Time (Years)	Amount (K)
Above 10 yrs.	20
6 to 10 yrs.	15
3 to 5 yrs.	12
1 to 2 yrs.	10
Under 1 yr., IPO	8

1976

Table 83 Date when Company was Established	
Year	Amount (K)
After 2001	8
1991 - 2001	10
1980 - 1990	12
Before 1980	15

1978

Table 84 Debt/Equity Ratio	
Value	Amount (K)
Over 2.00	8
1.01 to 2.00	10
0.50 to 1.00	12
Under 0.50	15

1980

Table 85 Technical Indicator A	
Normalized Value	Amount (K)
Above 0.90	12
0.61 to 0.90	10
0.31 to 0.60	8
0.10 to 0.30	6
Under 0.10	4

Fig. 71

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**1981 Time and Date Related Tables**

1982

Table 90 Time, Current Session	
Time Period	Amount (K)
9:30 AM - 10:30 AM	8
10:31 AM - 12:00 PM	10
12:01 PM - 2:30 PM	12
2:31 PM - 4:00 PM	10
Other	0

1984

Table 91 Day of the Week A	
Day of the Week	Amount (K)
Monday	20
Tuesday	30
Wednesday	40
Thursday	50
Friday	20

1985

1986

Table 92 Day of the Week B	
Trading Session	Amount (K)
Session before Long Weekend	12
Other Trading Session	10

1988

Table 93 Week of the Month	
Week Number	Amount (K)
1	40
2	35
3	30
4	25
5	20

1990

Table 94 Financial Quarter	
Quarter	Amount (K)
1st Quarter	30
2nd Quarter	30
3rd Quarter	40
4th Quarter	50

1992

Table 95 Current Month	
Month	Amount (K)
Jan, Feb	8
Mar, Jun	10
Sept, Oct	8
Nov, Dec	12
Other	10

1989

Fig. 72

67/85

**1993 Volume and Liquidity Related Tables**

1994

Table 100 Dollar Value Traded	
Dollar Value Traded	Amount (K)
High	20
Medium	10
Low	4
Illiquid	0
Time Period	Daily

1996

Table 101 Market Liquidity	
Measure	Amount (K)
4th Quartile	40
3rd Quartile	20
2nd Quartile	10
1st Quartile	5

1995

1998

Table 102 Average Daily Trades	
Trades	Amount (K)
Over 5,000	40
2,001 - 5,000	20
1,000 - 2,000	10
Under 1,000	5
Time Period	Daily

2000

Table 103 Trade Volume	
Volume (K)	Amount (K)
Above 500	15
251 to 500	12
101 to 250	8
0 to 100	5
Time Period	30 Min.

1999

2001

2002

Table 104 Average Trade Volume	
Volume	Amount (K)
Over 5 Million	15
3 - 5 Million	10
1 - 2 Million	5
Under 1 Million	0
Time Period	Daily
Number of Periods	30

2008

Table 105 Holdings Inventory	
Shares in Holdings	Sell Order (Shares)
Over 2,000	1,000
1,001 to 2,000	800
501 to 1,000	500
0 to 500	200

2003

2004

Fig. 73

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**2011 Options Related Tables****2010**

Table 110 Option Class	
Class	Amount (K)
Call	12
Put	8

**2012**

Table 111 Cost per Option	
Cost (US Dollars)	Amount (K)
Above 10.00	12
6.00 to 10.00	10
3.00 to 5.99	8
1.00 to 2.99	5
Under 1.00	3

**2014**

Table 112 Option Open Interest	
Open Interest	Amount (K)
Above 500	12
251 to 500	10
101 to 250	8
Under 100	5

**2016**

Table 113 Option, In the Money?	
Status	Amount (K)
True	15
False	10

**2018**

Table 114 Option Expiration	
Expiration	Amount (K)
More than 2 Months	12
1 to 2 Months	8
1 Week to 1 Month	5
Less than 1 Week	3

**2020**

Table 115 Option Status	
Status	Amount (K)
In the Money	15
Out of the Money	10

**2022**

Table 116 Option Strike Price	
Strike Price (USD)	Amount (K)
Above 100	8
51 to 100	5
21 to 50	4
10 to 20	3
Under 10	2

**2024**

Table 117 Option, Average Volume	
Option Volume	Amount (K)
Above 500	12
251 to 500	10
101 to 250	8
0 to 100	5
Time Period	Daily
Number of Periods	5

**2025****2026****Fig. 74**

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**2031 Third Party Data Tables**

2030

Table 120 Oversold Indicator	
Category	Amount (K)
Oversold	12
Neutral	10
Overbought	8

2032

Table 121 Bond Rating	
Rating	Amount (K)
AAA	35
AA	30
A	25
Other	10

2034

Table 122 Brokerage Rating, Schwab	
Rating	Amount (K)
A	15
B	12
C	10
D	8
F	6

2036

Table 123 Corporate Governance	
Category	Amount (K)
A Rating	15
B Rating	12
C Rating	10
D Rating	8

2038

Table 124 Expert System A	
Provider ID	Amount (K)
ABC Asset Management	14

2040

Table 125 Expert System B	
Provider ID	Amount (K)
XYZ Asset Management	16

2042

Table 126 Equity Price ABC Asset Management	
Security Price (USD)	Shares
56.31 to 56.40	200
56.21 to 56.30	500
56.10 to 56.20	800
Data Provider	ABC Asset Mgmt.

2044

Table 127 Options, Implied Volatility	
Volatility (%)	Amount (K)
Over 50%	5
21 to 50%	8
10 to 20%	10
Under 10%	12

2043

2046

Fig. 75

70/85

**2051 Portfolio Allocation****2050**

Table 130 Asset Allocation, Portfolio	
Asset Class	Portfolio (USD)
Cash	\$ 20,000
Equity	\$ 40,000
Fixed Income	\$ 30,000
Derivatives	\$ 10,000
Total Amount	\$ 100,000

**2052****2054****2056****2060**

Table 131 Asset Allocation, Portfolio	
Asset Class	Portfolio (%)
Cash	20
Equity	40
Fixed Income	30
Derivatives	10
Total Percent	100
Percent Reference	Portfolio Value

**2062****2064****2066****2070**

Table 132 Industry Allocation, Portfolio	
Industry Sector	Portfolio (%)
Utilities	10
Technology	40
Drug, Biotech	20
Other	30
Total Percent	100
Percent Reference	Equity Value

**2072****2078****2074****2076****2080**

Table 133 Index Allocation, Portfolio	
Index	Portfolio (%)
S&P 100	30
S&P 500	40
RUT 2000	20
Other	10
Total Percent	100
Percent Reference	Equity Value

**2082****2088****2084****2086****Fig. 76**

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**Position Guide: Combined Table Output Settings**

2100 → Security Symbol:   **MSFT 200**

Position Guide Settings Priority: 2101 2148

2102 → ☒ Use Combined Table Output Settings  
☐ Use Direct Output Settings

2103 →

Template	Input Criteria	Order Type	Asset Class	Template Type	PG Output
✓ TEMP1	-	Buy Order	Equity	Specific Trade	200
TEMP2	-	N.A.	Equity	Portfolio Amount	-
TEMP3	-	Buy Order	Options	Specific Trade	-
TEMP4	-	Sell Order	Equity	Specific Trade	500

2113 →

Table	Table Description	Table Output	Weight (%)	Result
→ <input checked="" type="checkbox"/> Table 10	Description Table 10	10,000	15	1,500
→ <input type="checkbox"/> Table 11	Description Table 11	-	-	-
→ <input type="checkbox"/> Table 12	Description Table 12	-	-	-
→ <input checked="" type="checkbox"/> Table 13	Description Table 13	15,000	25	3,750
→ <input type="checkbox"/> Table 14	Description Table 14	-	-	-
→ <input checked="" type="checkbox"/> Table 22	Description Table 22	10,000	30	3,000
→ <input checked="" type="checkbox"/> Table 44	Description Table 44	3,000	10	300
→ <input type="checkbox"/> Table 46	Description Table 46	-	-	-
→ <input checked="" type="checkbox"/> Table 53	Description Table 53	10,000	20	2,000
Table Investment Amount:			100 %	\$ 10,550

2114 →

2132 → ☒ Show Inactive Tables

2140 → Formula Amount:  2134 2137 2138

= TABLE + 0.10 \* AVG(Table10, Table13, Table44, Table53)

2142

2143 → Final Investment Amount, Use: ☐ Table List ☐ Formula ☒ Both

2144 → PG Price Denominator:  Price / Share:

2146 → PG Calculation Quantity:  Shares 2145 2141

2147

Fig. 77

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**Position Guide: Edit Table Settings**

Table Number:  2150

Security Symbol:  2151  2161

**PG 200**

Table	Column	Order Type	Input Type	Output Type	Output Unit
<input checked="" type="checkbox"/> 61	A	Buy Order	Equity	Specific Trade	USD (K)
<input type="checkbox"/> 61	B	N. A.	Equity	Portfolio Amount	USD (K)

2152 2154 2155 2156 2158 2160 2162

2164 2166

Table 61		Security's Market Cap
Amount (In US Dollars)	Amount (K)	
Over 100 Billion	15	2170
51 Billion to 100 Billion	12	2173
26 Billion to 50 Billion	10	2174
6 Billion to 25 Billion	8	
500 Million to 5 Billion	8	
Under 500 Million	4	2176
<input checked="" type="checkbox"/> 12,000		

2172

2178

Fig. 78



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**Position Guide: Advanced Table Settings**

Table:     2212

2200 2202 2210

Table 73 <span style="float: right;">DJI Index, Performance</span>		
Change (Points)	Buy Amount (K)	Sell Amount (K)
Above +500	15	8
0 to +500	12	10
-500 to 0	10	12
Under -500	8	15

2204 2205

2206 **Table 73 Settings** 2220 Data 2214 2215

Table Number	73	
Table Configuration	4 rows X 2 columns	
Table Title	DJI, Index Performance	
Table Type	Index Performance	
Input Data Source	Backend	
Input Data Code	DJI Performance	
Input Data Unit	Points	
Input Format Code	0	
Input Category Overlap	Average	
Input Time Period	1 Week	
Averaging Number	N. A.	
Output Type	Single Trade	Single Trade
Output Asset Class	Equity	Equity
Output Order Type	BUY	SELL
Output Unit	USD	USD
Output Format Code	K	K
Output Percent Reference	N. A.	N. A.
Output Value	Exact	Exact

2207 2227 2228

2208 2222 2224 2226

2209

**Table Description:**

Used to allocate an amount for a trade based on a point change of the DJI Index over a 1 Week period. The table out put columns are configured for a buy order amount and a sell order amount.

2240

2242 **Eligible Securities:**   2244

2246 **Input Formula:**  2247

2248     2249

Fig. 79

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Position Guide: Table Input Summary

Table 61: Security's Market Cap

Table Number:

PG Input Symbol	Table Output	PG Output
MSFT	15 K	200
SUNW	8 K	1,200
ORCL	10 K	1,000
TXN	10 K	400

Table Settings: Equity, Buy, Amount (K), Trade

Fig. 80

Position Guide: Exempt Security Symbols

Select Input:

☒ Do not recommend PG quantities for Securities with the following Symbols:

LU, T, AOL, PSFT, BMC

☒ Do not recommend PG quantities for Securities beginning or ending with the following Letters:

MSQ, INQRZ, OE#E

☒ Do not recommend PG quantities for Securities belonging to the following Indexes or Sectors:

RUT, DDX, B2B Sector

Fig. 81

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Position Guide: Permitted Security Symbols

2301 → Select Input:

2300 → ☒ Allow PG quantities for Securities with the following Symbols:  
  
2302

2304 → ☒ Allow PG quantities for Securities beginning or ending with the following Letters:  
  
2306

2308 → ☒ Allow PG quantities for Securities belonging to the following Indexes or Sectors:  
  
2310

Fig. 82

Position Guide: Index Components

Index / Name:    
2370

Component Securities: 2372

AA	GE	JNJ	PG
AXP	GM	JPM	SBC
BA	HD	KO	T
C	HON	MCD	UTX
CAT	HPQ	MMM	WMT
DD	IBM	MO	XOM
DIS	INTC	MRK	
EK	IP	MSFT	

2376   2378

2374

Fig. 84

76/85

**Position Guide: Output Conditioning**

2320 Equity 2322 Bond 2324 Option 2326 Fund 2328 Portfolio

**BASIC CONDITIONING**

2330 PG Display Units: ☒ Auto ☐ Lots ☐ Shares ☐ 1000's

2332 ☒ Round PG Calculation to: Nearest 50 Shares 2333

**ADVANCED CONDITIONING**

2334 ☒ Disable PG Output on the following Days, Dates, or Times: PG 200 2368

(9:30 - 10:00), Friday, December 14, 2336  
December 15 (12:00 - 2:00)

2338 ☒ Avoid the following PG Output values:

4?, 13, 13?, 40, 400?, IF(1300, 1200), 2340  
\*400, DISABLE(2400), IF(4400,0)

2342 ☒ Encourage the following PG Output values:

5, 8, 10, 15, 20, 21, 500, 1000, \*00 2344

2346 ☒ Disable the Advanced Conditioning methods below:

2348 ☐ Vary the PG Quantity higher by 100 units and lower by 200 units to achieve the desired PG Output.

2350 ☐ PG Output Sequence:

100, 200, 300, 500, 600, 700, 800, 1000, 1200, 1500 2352

2354 ☐ PG Output Mapping

PG Quantity	PG Output
950	900
1,000	1,000
1,050	1,000

2356 2358 2360 2362

2364 2366

OK Cancel Apply

Fig. 83

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**Position Guide: Index Settings**

2381 → Index Value: **INDEX21 760.30**

2380 → Index Name: INDEX21  2386

2384 → Reference: Market Capitalization

2388 → Ref. Units: Dollar (Billions)

2389 → Index Divisor : 1,188,872,813.3631 2390

Index Benchmark Value of:

2392 → 100.00 on Date: Dec. 31, 1984

2396 2398 2400 2382 2402

Component	Ref. Value	Percent	Value
MSFT	286.7	31.7%	241.2
CSCO	98.4	10.9%	82.8
DELL	61.3	6.8%	51.6
ORCL	47.8	5.3%	40.2
GE	287.2	31.8%	241.6
INTC	122.5	13.6%	103.0
6	903.9	100.0%	760.3

2394 →

2404 →

2410 →

2411 → ☒ MSFT(Price \* SharesOS)

2412

**Index Description:**

Index21 is a Market Cap. Weighed Technology Index with six component stocks

2416

2414   2420

2418

Fig. 85

78/85

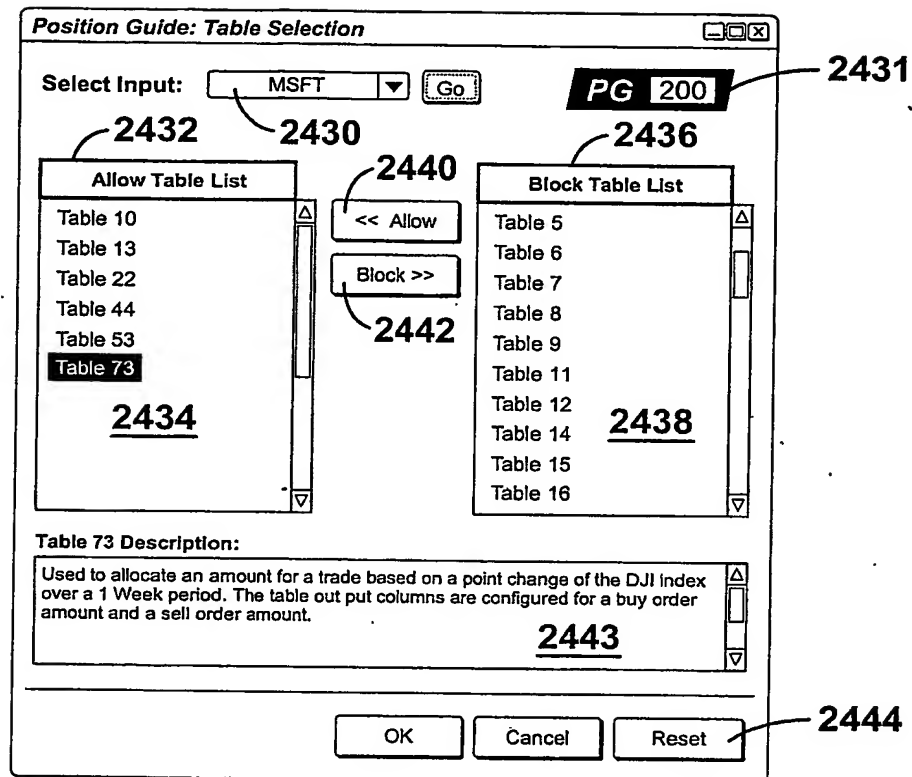


Fig. 86

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**Position Guide: Alternative Table Output Settings**

Equities Bonds Options Mutual Funds ← 2450

Buy Sell Short Portfolio ← 2452

Security Symbol: MSFT Go MSFT 200

**Position Guide Settings Priority:**

☒ Use Combined Table Output Settings

☐ Use Direct Output Settings

2454

Table	Table Description	Table Output	Weight (%)	Result
<input checked="" type="checkbox"/> Table 10	Description Table 10	10,000	15	1,500
<input type="checkbox"/> Table 11	Description Table 11	-	-	-
<input type="checkbox"/> Table 12	Description Table 12	-	-	-
<input checked="" type="checkbox"/> Table 13	Description Table 13	15,000	25	3,750
<input type="checkbox"/> Table 14	Description Table 14	-	-	-
<input checked="" type="checkbox"/> Table 22	Description Table 22	10,000	50	3,000
<input checked="" type="checkbox"/> Table 44	Description Table 44	3,000	10	300
<input type="checkbox"/> Table 46	Description Table 46	-	-	-
<input checked="" type="checkbox"/> Table 53	Description Table 53	10,000	-	2,000
Table Investment Amount:		100 %		\$ 10,550

☒ Show Inactive Tables

Formula Amount: \$ 11,500

= TABLE + 0.10 \* AVG(Table10, Table13, Table44, Table53)

Final Investment Amount, Use: ☐ Table List ☐ Formula ☒ Both \$ 11,500

PG Price Denominator: AUTO Price / Share: 55.13

PG Calculation Quantity: 208.59 Shares

OK Cancel Apply

Fig. 87

80/85

**Position Guide: Alternative Direct Output Settings**

Buy 2460 Sell 2462 Short 2464 Portfolio Amount 2466

Input Symbol: MSFT Go PG 200

Position Guide Settings Priority: 2469  
Alternative Direct Output Settings

Input Criteria	Buy Amount	Last Price	PG Out	PG Max
✓ MSFT	14,000	55.13	▶ 200	2,100
CSCO	12,000	14.15	800	8,400
MSQBD	6,000	5.28	10	220
✓ EQUITY	10,000	55.13	100	2,100
INTC	8,000	19.51	400	6,100
✓ OEX	12,000	55.13	200	2,100
BOND	25,000	-	-	-
OPTION	5,000	-	-	-
✓ NASDAQ	10,000	55.13	100	2,100
NYSE	8,000	-	-	-

X ✓ = 14,000

Multiple Amounts: ☒ Position ☐ Average ☐ Formula

PG Price Denominator: AUTO Price / Share: 55.13

PG Calculation Quantity: 253.94 Shares

Settings... OK Cancel Apply

Fig. 88



81/85

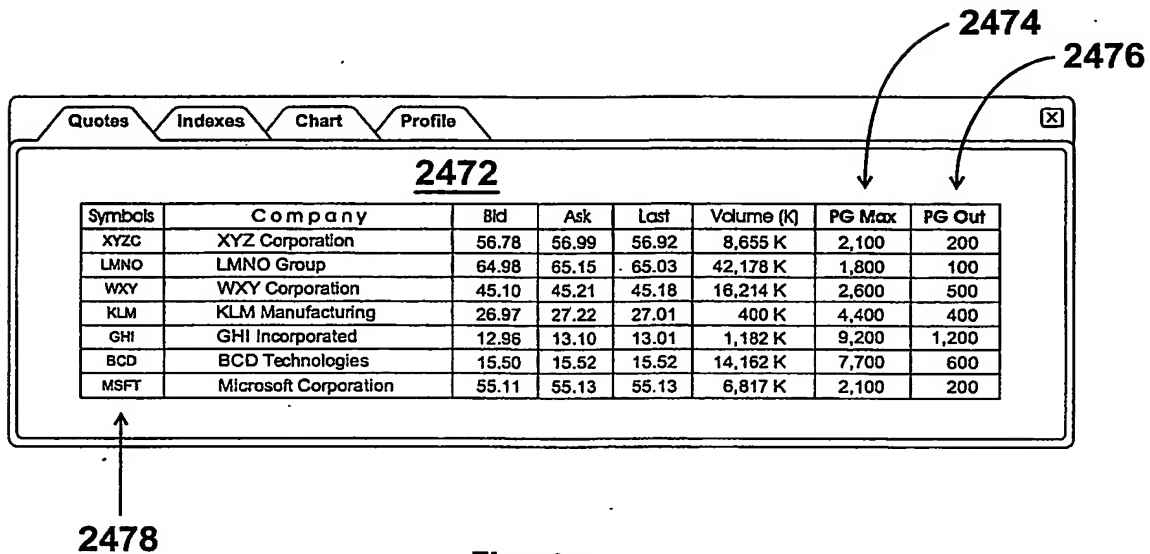


Fig. 89

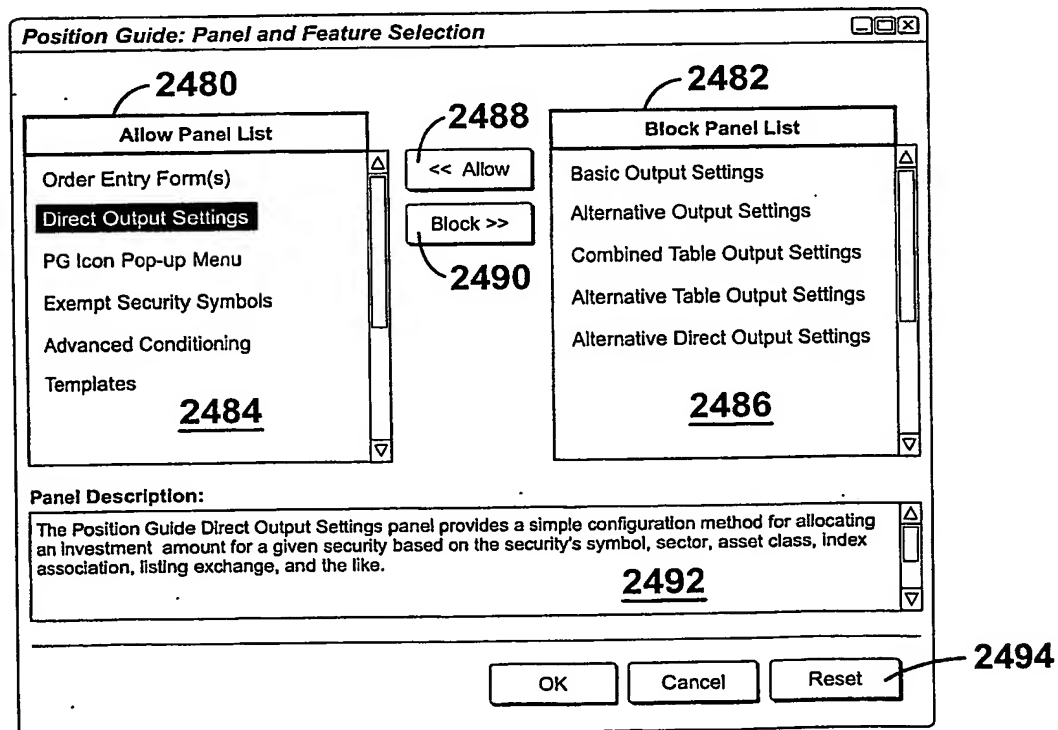


Fig. 90

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**Position Guide: Alternative Direct Output Settings**

Buy Sell Short Portfolio Amount

Input Symbol: MSFT Go **PG 200**

Position Guide Settings Priority:  
Alternative Direct Output Settings ▼

2465 2467 2500 2502

Input Criteria	Buy Amount	Share Quantity	Percent Amount	PG Out
MSFT	14,000	-	-	200
CSCO	12,000	-	-	800
MSQBD	6,000	-	-	10
EQUITY	10,000	-	-	100
INTC	8,000	-	-	400
OEX	12,000	-	-	100
BOND	25,000	-	-	-
OPTION	5,000	-	-	-
NASDAQ	10,000	-	-	100
NYSE	8,000	-	-	-

X ✓ = 14,000

Multiple Amounts: ☒ Position ☐ Average ☐ Formula

PG Price Denominator: AUTO ▼ Price / Share: 55.13

PG Calculation Quantity: 253.94 Shares

Settings... OK Cancel Apply

Fig. 91

83/85

**Position Guide: Edit Table Settings**

Table Number:

Security Symbol:   **PG 800**

Table	Column	Order Type	Input Type	Output Type	Output Unit
<input type="checkbox"/> 61	A	Buy Order	Equity	Specific Trade	USD (K)
<input checked="" type="checkbox"/> 61	B	N.A.	Equity	Portfolio Amount	USD (K)

**Table 61, Security's Market Cap**

Amount (In US Dollars)	Actual Amount (K)	Portfolio Amount (K)
Over 100 Billion	68	-
51 Billion to 100 Billion	140 <b>2518</b>	150 <b>2516</b>
26 Billion to 50 Billion	90	100
6 Billion to 25 Billion	18	75
500 Million to 5 Billion	25	50
Under 500 Million	20	-
<b>X √ =</b>	140,000	

**2517** → ☒ Show Actual Amounts Column

Fig. 92

**Position Guide: Alert**

Your intended Trade to Buy 500 Shares of MSFT @ \$55.13 overrides the Position Guide as follows:

- 1.) Exceeds the PG Output by 300 Shares or \$16,539.
- 2.) Exceeds your Equity Asset Portfolio Amount Limit of \$250,000 by \$13,816.
- 3.) Exceeds your MSFT Portfolio Share Limit of 2,500 Shares by 100 Shares.

**2526** **2528** **2530**

Fig. 93

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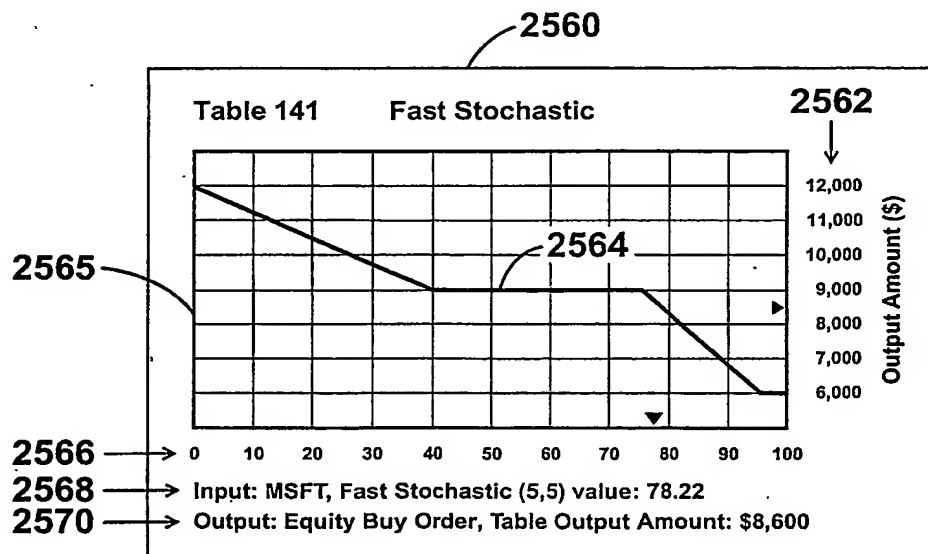
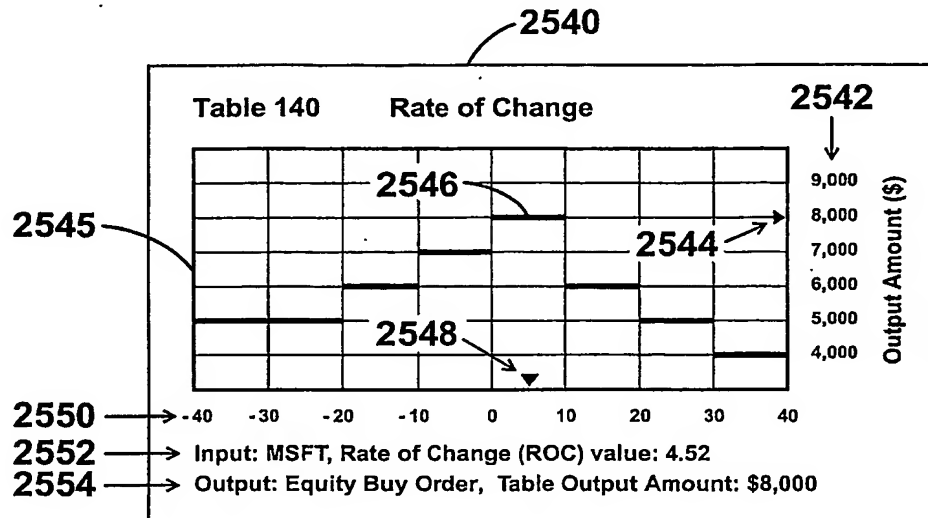
**2541 Graphical Tables**

Fig. 94

2572

2573

2574

2576

2578

2580

2582

2584

2586

2588

Open Order Settings

→ OPEN BUY

Microsoft Corp.

Hot ☒

Shares 200

Price 55.13

Market ISLD

Good Through Today Only

Use PG ☐

Market Order ☐

Auto Select ☐

→ OPEN SELL

Dell Computer

Hot ☒

Shares 500

Price 26.46

Market ARCA

Good Through Today Only

Use PG ☒

Market Order ☐

Auto Select ☐

Cancel Order ☐

OK

Cancel

Apply

Fig. 95

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